

M e m o r a n d u m



FILE COPY

36

Date: December 18, 2008

To: Central Division


From: DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
Bakersfield Area

File No.: 420.11428.12958

Subject: BAKERSFIELD AREA RESOURCES MANAGEMENT INSPECTION
RESPONSE

I have reviewed the inspection report for the Area Resource Management inspection which was conducted on October 8, 2008. I am pleased with the overall evaluation and know that my staff works diligently to provide a superior effort. Unfortunately, some minor discrepancies were identified.

Regarding the Office Management (chapter 5) evaluation, two of the discrepancies have been corrected and the third is currently in the process of being corrected. Our Office Services Supervisor completed a revised job description for the CHP 415 clerk on October 31, 2008, and the procedures manual for that position regarding CARS is currently being rewritten and should be complete no later than January 31, 2009. Administrative files not currently being used were eliminated when our clerical office was totally remodeled on November 4, 2008. Finally, on December 18, 2008, the security code on the postage meter was changed and is limited to personnel directly responsible for mail handling. Any questions regarding our corrective actions may be directed to me.



B. M. SMITH, Captain
Commander

AREA	DIVISION	NUMBER
BAKERSFIELD	CENTRAL	420
EVALUATOR		DATE
P. McSHEEHY, OSSI		10/08/2008

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION		SUSPENSE DATE	
<input checked="" type="checkbox"/> Formal Evaluation	<input type="checkbox"/> Informal Evaluation		
FOLLOW-UP REQUIRED		COMMANDER'S REVIEW	
<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Correction Report		DATE	
BY			

1. CLERICAL TASKS

EVALUATED	ACTION REQUIRED	CORRECTED
YES	None	10/08/2008

a. Is the office well organized?

☒ Yes ☐ No

(1) Are there written job descriptions?

☒ Yes ☐ No

(a) Does clerical staff have their job description at their desk?

☒ Yes ☐ No

(b) Does clerical staff understand what is expected of them?

☒ Yes ☐ No

(2) Are similar activities grouped together to promote efficiency?

☒ Yes ☐ No

(3) If tape recorders are used, can clerical employees transcribe effectively?

☒ Yes ☐ No

(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?

☒ Yes ☐ No

(5) Can another clerical employee assume the duties of a clerical employee who is absent?

☒ Yes ☐ No

b. Is the Office Services Supervisor (OSS) effective?

☒ Yes ☐ No

(1) Does he/she properly apply management philosophies and supervisory skills?

☒ Yes ☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?

☒ Yes ☐ No

(b) Is the clerical supervisor an effective manager?

☒ Yes ☐ No

(2) Does the OSS identify employees with supervisory potential?

☒ Yes ☐ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development?

☒ Yes ☐ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?

☒ Yes ☐ No

(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?

☒ Yes ☐ No

(3) Does the supervisor set a good example?

☒ Yes ☐ No

(a) Does he/she show a willingness to assist subordinate personnel?

☒ Yes ☐ No

(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?

☒ Yes ☐ No

(4) If there is more than one OSS, is the work and supervision evenly distributed?

☐ Yes ☐ No

(5) Does the OSS participate in Area staff meetings?

☒ Yes ☐ No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

2. FILING SYSTEM

EVALUATED
YES

ACTION REQUIRED
Yes

CORRECTED

a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?

☐ Yes ☒ No

b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?

☒ Yes ☐ No

(1) How far back are accident reports being maintained? 4 YRS. ROTATING

(2) Is there a filing backlog?

☐ Yes ☒ No

(3) Is there evidence of recent office review?

☒ Yes ☐ No

(4) How are Management and All Commanders Memorandums filed and purged? MM- filed in number order, All Commanders- filed in order received. Purged at end of normal retention per schedule.

(5) Are Training and Information Bulletins filed?

☒ Yes ☐ No

(a) If so, how are they located? Filed in binders and located with a log sheet.

(6) Do all clerical employees understand the filing system?

☒ Yes ☐ No

(7) Does the Area have an effective suspense system?

☒ Yes ☐ No

(a) Do all supervisors take advantage of the suspense system?

☒ Yes ☐ No

c. Are personnel files properly secured and access limited?

☒ Yes ☐ No

(1) Are the requirements of the Information Practices Act being followed?

☒ Yes ☐ No

(2) Is a periodic review done on a regular basis?

☒ Yes ☐ No

(a) If so, how often? At the time of annual reviews.

(3) Is annual employee review and updating conducted as required?

☒ Yes ☐ No

(4) Are only required or permitted items contained in personnel folders?

☒ Yes ☐ No

3. SECURITY OF CRIMINAL RECORDS

EVALUATED
YES

ACTION REQUIRED
None

CORRECTED

a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?

☒ Yes ☐ No

(1) Has the Area designated a specific person to release criminal offender record information?

☒ Yes ☐ No

(a) Do any other persons release this information?

☒ Yes ☐ No

(b) Has the designated person completed the required training?

☒ Yes ☐ No

(c) Are safeguards in place to verify telephone inquiries prior to disclosure?

☒ Yes ☐ No

(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?

N/A

☐ Yes ☐ No

(a) Are entries maintained for the prescribed period of time?

N/A

☐ Yes ☐ No

4. FISCAL PROCEDURES

EVALUATED
YES

ACTION REQUIRED
None

CORRECTED

a. Have discrepancies on the most current audit reports been corrected?

☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) Are all change fund and collections handled and processed according to policy? ☒ Yes ☐ No

(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded? ☒ Yes ☐ No

(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section? *N/A* ☐ Yes ☐ No

(c) Is there a separation of duties between cashier responsibilities and transmittal of collections? ☒ Yes ☐ No

(d) Are collections and change funds safeguarded? ☒ Yes ☐ No

(e) Are checks promptly endorsed and cash receipts reconciled daily? ☒ Yes ☐ No

(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion? *COUNTER RECEIPTS ONLY* ☐ Yes ☐ No

(g) What specific guidelines are in place for security control and accountability? *Quarterly audits, weekly transmittals, limited access by employees.*

(h) Is a supervisor responsible for review of the system? ☒ Yes ☐ No

(i) Do total collections agree with the total amount of counter receipts and DL45s issued? ☒ Yes ☐ No

(j) Are counter receipts and transmittal records prepared properly? ☒ Yes ☐ No

(k) Are surprise counts of funds performed and documented by the commander or designee? ☒ Yes ☐ No

(2) Are security and accountability procedures in place for the petty cash fund? ☒ Yes ☐ No

(a) Is the petty cash fund used only for authorized purchases within the limited amount? ☒ Yes ☐ No

(b) Are valid authorizations on file? ☒ Yes ☐ No

(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased? ☒ Yes ☐ No

(d) Are there adequate procedures to ensure purchases are properly authorized? ☒ Yes ☐ No

(e) Are surprise counts performed by someone not involved in handling the petty cash fund? ☒ Yes ☐ No

(3) Are X-Number services proper and within departmental and state policy? ☒ Yes ☐ No

(a) Are services procured over \$4,999.99? ☐ Yes ☒ No

(b) Is the amount limit circumvented by splitting procurements? ☐ Yes ☒ No

(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request? ☒ Yes ☐ No

(d) Do invoices itemize charges and reference X-Numbers? ☒ Yes ☐ No

(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor? ☒ Yes ☐ No

(a) Are cardholders familiar with the bank card process, including prohibited and restricted items? ☒ Yes ☐ No

(b) Are purchases within established policy? ☒ Yes ☐ No

(c) Are three price quotations obtained and documented on a CHP 315X? ☒ Yes ☐ No

(d) Is the bank card log completed properly? ☒ Yes ☐ No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor?

☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval?

☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? Commander or designated employee verifies and signs the weekly transmittals.

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday?

☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier?

☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate?

☒ Yes ☐ No

(4) Do tire sale transactions comply with policy?

☒ Yes ☐ No

c. Is security of the postage machine adequate?

☒ Yes ☐ No

(1) Is the machine locked when not in use?

☒ Yes ☐ No

(2) Is the meter reading documented as required?

☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced?

☐ Yes ☐ No

N/A

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED

YES

ACTION REQUIRED

None

CORRECTED

a. Are requisitions prepared properly?

☒ Yes ☐ No

(1) Who prepares them? Office Tech/OSSII

(2) Has a practical stock level been established and maintained?

☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared?

☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to?

☒ Yes ☐ No

(b) Is there a high number of emergency requisitions?

☐ Yes ☒ No

b. Are items stored properly in a storeroom?

☒ Yes ☐ No

(1) Is there convenient access for regularly used items?

☒ Yes ☐ No

(2) Have obsolete items been removed?

☒ Yes ☐ No

6. SUPPLIES

EVALUATED

YES

ACTION REQUIRED

None

CORRECTED

a. Are all cameras assigned to the command accounted for?

☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories?

☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual?

☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? Checked on yearly by the Sergeant who is assigned to maintain them.

b. Are all extenders assigned to the command accounted for?

☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) Is there adequate security for extender batteries and other supplies?

☒ Yes ☐ No

7. OFFICE EQUIPMENT

EVALUATED
YESACTION REQUIRED
None

CORRECTED

a. Are office machines in good condition and properly maintained?

☒ Yes ☐ No

(1) Is the vendor complying with maintenance contract provisions?

☒ Yes ☐ No

(2) Is there a shortage or surplus of machines?

☐ Yes ☒ No

b. Is the Management Information System (MIS) used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? All clerical personnel and designated officers.

(2) How is training provided, and by whom? LAN coordinators, Comm. Center Supervisors.

(3) Is there a usage schedule for uniformed and nonuniformed personnel?

N/A

☐ Yes ☒ No

(4) Are there controls in place to ensure confidentiality?

☒ Yes ☐ No

(5) Are all personnel aware of how to request repairs after normal business hours?

☒ Yes ☐ No

(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?

☐ Yes ☒ No

(7) What system is used to ensure proper routing of MIS information? E-mail/photo copies if necessary.

c. Are personal computers used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? All employees

(2) How is training provided, and by whom? LAN Coordinator, any computer training which might be offered by HQ.

(a) How many employees are trained in its use? All employees

(3) Are there restrictions on the time its used?

N/A

☐ Yes ☒ No

(a) Is there a schedule for uniformed and nonuniformed employees?

N/A

☐ Yes ☒ No

(4) Is confidential or sensitive information being stored on a PC hard drive?

☐ Yes ☒ No

(a) If so, is the PC password protected?

☐ Yes ☒ No

(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?

☒ Yes ☐ No

(5) What is the PC being used for? Daily work by all employees

(6) Are controls present to prevent inappropriate/personal use of the computer?

☒ Yes ☐ No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(7) Are backup procedures being performed on a regular basis?

☒ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area?

☒ Yes ☐ No

(8) Are PC manuals and other documentation available to all users?

☐ Yes ☒ No

(9) What procedures are in place to ensure out-of-date documents and files are purged? LAN coordinator reviews periodically and ensures that information is current and older forms are purged.

(10) Are employees aware of the availability of assistance in resolving computer related problems?

☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs?

☒ Yes ☐ No

8. PUBLIC CONTACTS

EVALUATED

YES

ACTION REQUIRED

None

CORRECTED

a. Does the office have extended office hours?

☐ Yes ☒ No

(1) If so, are they adequate and effective?

☐ Yes ☒ No

b. Are persons served promptly and courteously?

☒ Yes ☐ No

(1) Are backup personnel immediately available?

☒ Yes ☐ No

(2) Is telephone service both efficient and effective?

☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones?

☒ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum?

☒ Yes ☐ No

9. SCHOOL BUS DRIVER EXAMINATIONS

EVALUATED

YES

ACTION REQUIRED

None

CORRECTED

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? Special Duty position.

(1) Are tests and test keys kept in a secure place?

☒ Yes ☐ No

(2) How are interested parties advised of testing procedures? Through school district training facilities

(a) Are exams graded in the presence of the applicant, and missed questions discussed?

☒ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly?

☒ Yes ☐ No

(3) How are test disposed of? Shredded by the School Bus Officer.

(4) Is there a specific date and time set aside for testing?

☒ Yes ☐ No

10. COURT INFORMATION PROCEDURES

EVALUATED

YES

ACTION REQUIRED

None

CORRECTED

a. Is there a systematic method of coordinating court appearance matters?

☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) What controls are in place to ensure officers appear in court? Area supervisors conduct periodic checks on officers court appearances and documentation is made on the CHP 118 logs.

(a) How are appearances minimized following cancellations? Subpoena Clerks notifies officers by phone or by written notice.

(b) How are "short notice" cancellations minimized? Notifications are made as soon as the Court Clerk is notified.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases?

☒ Yes ☐ No

(3) Who is responsible for managing the process? OSSII/Subpoena Clerk

(a) Are court officers performing duties that could be handled by clerical personnel?

☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED

YES

ACTION REQUIRED

None

CORRECTED

a. Are the number of authorized libraries being maintained?

☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them?

☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? Employees use designated libraries and return same to original location.

(2) Are publications distinctively marked so they can be readily identified?

☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? See attached.

(b) Is there a listing available of what should be in each library?

☒ Yes ☐ No

(3) Are publications kept up-to-date?

☒ Yes ☐ No

(4) Who files publication changes? The front desk officer handles the filing of updates.

CHAPTER 5
Bakersfield Area 420
10/08/2008

Item 1: Clerical Tasks

(1) The job description for the 415 desk is to be rewritten to include new instruction on the CARS program for A415 data entry. OSSII is aware and the change will be made as soon as possible.

Item 2: Filing System

a. The Administration Files are overdone. It was recommended that files not being used at the current time, be eliminated. OSSII is going to review the HPG 11.1 Field Office File Guide for reference in eliminating the extra files. Upon replacement of the current filing cabinets, these changes will be made.

Item 3: Security of Criminal Records

(2) N/A

(2a) N/A

Item 4: Fiscal Procedures

(1b) DL45 receipts are no longer required to be sent to Accounting Section.

(1f) N/A

(2c) N/A

(4c) A CHP 315 is used only when making a purchase through HQ on a Form CHP 43.

b(4) Tire sales – N/A

c. Postage meter security. It is recommended that the security code on the postage meter be changed and that access to the code be limited to only those personnel directly responsible for mail procedures.

c(3) N/A

Item 7: Office Equipment

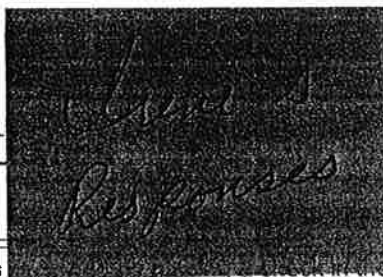
(8) PC manuals and other documentation are removed from equipment when released from HQ to assigned areas.

Item 8: Public Contacts

a(1) Extended office hours were discontinued due to lack of public interest.

MISCELLANEOUS COMMENT:

It was noticed that one of the OA's has a coffee pot in her cubicle. It is recommended that this unit be placed somewhere else in the office in order to minimize spills on equipment, carpeting and paperwork. This may be considered a safety hazard by OSHA, or the Fire Marshall.



OFFICER KERSFIELD	DIVISION CENTRAL	NUMBER 420
EVALUATED BY McSHEEHY, OSSI		DATE 10/08/2008

INSTRUCTIONS: Indicate items that are being evaluated in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		COMMANDER'S REVIEW	
<input type="checkbox"/> Correction Report BY		DATE	
1. CLERICAL TASKS		EVALUATED YES	ACTION REQUIRED None
		CORRECTED 10/08/2008	

a. Is the office well organized? ☒ Yes ☐ No

(1) Are there written job descriptions? ☒ Yes ☐ No

(a) Does clerical staff have their job description at their desk? ☒ Yes ☐ No

(b) Does clerical staff understand what is expected of them? ☒ Yes ☐ No

(2) Are similar activities grouped together to promote efficiency? ☒ Yes ☐ No

(3) If tape recorders are used, can clerical employees transcribe effectively? ☒ Yes ☐ No

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(5) Can another clerical employee assume the duties of a clerical employee who is absent? ☒ Yes ☐ No

b. Is the Office Services Supervisor (OSS) effective? ☒ Yes ☐ No

(1) Does he/she properly apply management philosophies and supervisory skills? ☒ Yes ☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates? ☒ Yes ☐ No

(b) Is the clerical supervisor an effective manager? ☒ Yes ☐ No

(2) Does the OSS identify employees with supervisory potential? ☒ Yes ☐ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development? ☒ Yes ☐ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees? ☒ Yes ☐ No

(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees? ☒ Yes ☐ No

(3) Does the supervisor set a good example? ☒ Yes ☐ No

(a) Does he/she show a willingness to assist subordinate personnel? ☒ Yes ☐ No

(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor? ☒ Yes ☐ No

(4) If there is more than one OSS, is the work and supervision evenly distributed? ☐ Yes ☐ No

(5) Does the OSS participate in Area staff meetings? ☒ Yes ☐ No

N/A

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

2. FILING SYSTEM	EVALUATED	ACTION REQUIRED	CORRECTED
	YES	Yes	

- a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide? ☐ Yes ☒ No
- b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy? ☒ Yes ☐ No
- (1) How far back are accident reports being maintained? 4 YRS. ROTATING
- (2) Is there a filing backlog? ☐ Yes ☒ No
- (3) Is there evidence of recent office review? ☒ Yes ☐ No
- (4) How are Management and All Commanders Memorandums filed and purged? MM- filed in number order, All Commanders- filed in order received. Purged at end of normal retention per schedule.
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- (7) Does the Area have an effective suspense system? ☒ Yes ☐ No
- (a) Do all supervisors take advantage of the suspense system? ☒ Yes ☐ No
- c. Are personnel files properly secured and access limited? ☒ Yes ☐ No
- (1) Are the requirements of the Information Practices Act being followed? ☒ Yes ☐ No
- (2) Is a periodic review done on a regular basis? ☒ Yes ☐ No
- (a) If so, how often? At the time of annual reviews.
- (3) Is annual employee review and updating conducted as required? ☒ Yes ☐ No
- (4) Are only required or permitted items contained in personnel folders? ☒ Yes ☐ No

3. SECURITY OF CRIMINAL RECORDS	EVALUATED	ACTION REQUIRED	CORRECTED
	YES	None	

- a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records? ☒ Yes ☐ No
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- (a) Do any other persons release this information? ☒ Yes ☐ No
- (b) Has the designated person completed the required training? ☒ Yes ☐ No
- (c) Are safeguards in place to verify telephone inquiries prior to disclosure? ☒ Yes ☐ No
- (2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log? *N/A* ☐ Yes ☐ No
- (a) Are entries maintained for the prescribed period of time? *N/A* ☐ Yes ☐ No

4. FISCAL PROCEDURES	EVALUATED	ACTION REQUIRED	CORRECTED
	YES	None	

- a. Have discrepancies on the most current audit reports been corrected? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

(1) Are all change fund and collections handled and processed according to policy? ☒ Yes ☐ No

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(j) Are counter receipts and transmittal records prepared properly? ☒ Yes ☐ No

(k) Are surprise counts of funds performed and documented by the commander or designee? ☒ Yes ☐ No

(2) Are security and accountability procedures in place for the petty cash fund? ☒ Yes ☐ No

(a) Is the petty cash fund used only for authorized purchases within the limited amount? ☒ Yes ☐ No

(b) Are valid authorizations on file? ☒ Yes ☐ No

(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased? ☒ Yes ☐ No

(d) Are there adequate procedures to ensure purchases are properly authorized? ☒ Yes ☐ No

(e) Are surprise counts performed by someone not involved in handling the petty cash fund? ☒ Yes ☐ No

(3) Are X-Number services proper and within departmental and state policy? ☒ Yes ☐ No

(a) Are services procured over \$4,999.99? ☐ Yes ☒ No

(b) Is the amount limit circumvented by splitting procurements? ☐ Yes ☒ No

(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request? ☒ Yes ☐ No

(d) Do invoices itemize charges and reference X-Numbers? ☒ Yes ☐ No

(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor? ☒ Yes ☐ No

(a) Are cardholders familiar with the bank card process, including prohibited and restricted items? ☒ Yes ☐ No

(b) Are purchases within established policy? ☒ Yes ☐ No

(c) Are three price quotations obtained and documented on a CHP 315X? ☒ Yes ☐ No

(d) Is the bank card log completed properly? ☒ Yes ☐ No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor?

☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval?

☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? Commander or designated employee verifies and signs the weekly transmittals.

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday?

☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier?

☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate?

☒ Yes ☐ No

(4) Do tire sale transactions comply with policy?

☒ Yes ☐ No

c. Is security of the postage machine adequate?

☒ Yes ☐ No

(1) Is the machine locked when not in use?

☒ Yes ☐ No

(2) Is the meter reading documented as required?

☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced?

☐ Yes ☐ No

N/A

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED
YES

ACTION REQUIRED
None

CORRECTED

a. Are requisitions prepared properly?

☒ Yes ☐ No

(1) Who prepares them? Office Tech/OSSII

(2) Has a practical stock level been established and maintained?

☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared?

☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to?

☒ Yes ☐ No

(b) Is there a high number of emergency requisitions?

☐ Yes ☒ No

b. Are items stored properly in a storeroom?

☒ Yes ☐ No

(1) Is there convenient access for regularly used items?

☒ Yes ☐ No

(2) Have obsolete items been removed?

☒ Yes ☐ No

6. SUPPLIES

EVALUATED
YES

ACTION REQUIRED
None

CORRECTED

a. Are all cameras assigned to the command accounted for?

☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories?

☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual?

☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? Checked on yearly by the Sergeant who is assigned to maintain them.

b. Are all extenders assigned to the command accounted for?

☒ Yes ☐ No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(1) Is there adequate security for extender batteries and other supplies?

☒ Yes ☐ No

7. OFFICE EQUIPMENT

EVALUATED
YES

ACTION REQUIRED
None

CORRECTED

a. Are office machines in good condition and properly maintained?

☒ Yes ☐ No

(1) Is the vendor complying with maintenance contract provisions?

☒ Yes ☐ No

(2) Is there a shortage or surplus of machines?

☐ Yes ☒ No

b. Is the Management Information System (MIS) used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? All clerical personnel and designated officers.

(2) How is training provided, and by whom? LAN coordinators, Comm. Center Supervisors.

(3) Is there a usage schedule for uniformed and nonuniformed personnel?

N/A

☐ Yes ☒ No

(4) Are there controls in place to ensure confidentiality?

☒ Yes ☐ No

(5) Are all personnel aware of how to request repairs after normal business hours?

☒ Yes ☐ No

(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?

☐ Yes ☒ No

(7) What system is used to ensure proper routing of MIS information? E-mail/photo copies if necessary.

c. Are personal computers used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? All employees

(2) How is training provided, and by whom? LAN Coordinator, any computer training which might be offered by ITQ.

(a) How many employees are trained in its use? All employees

(3) Are there restrictions on the time its used?

N/A

☐ Yes ☒ No

(a) Is there a schedule for uniformed and nonuniformed employees?

N/A

☐ Yes ☒ No

(4) Is confidential or sensitive information being stored on a PC hard drive?

☐ Yes ☒ No

(a) If so, is the PC password protected?

☐ Yes ☒ No

(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?

☒ Yes ☐ No

(5) What is the PC being used for? Daily work by all employees

(6) Are controls present to prevent inappropriate/personal use of the computer?

☒ Yes ☐ No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(7) Are backup procedures being performed on a regular basis? ☒ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area? ☒ Yes ☐ No

(8) Are PC manuals and other documentation available to all users? ☐ Yes ☒ No

(9) What procedures are in place to ensure out-of-date documents and files are purged? LAN coordinator reviews periodically and ensures that information is current and older forms are purged.

(10) Are employees aware of the availability of assistance in resolving computer related problems? ☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs? ☒ Yes ☐ No

8. PUBLIC CONTACTS

EVALUATED
YES

ACTION REQUIRED
None

CORRECTED

a. Does the office have extended office hours? ☐ Yes ☒ No

(1) If so, are they adequate and effective? ☐ Yes ☒ No

b. Are persons served promptly and courteously? ☒ Yes ☐ No

(1) Are backup personnel immediately available? ☒ Yes ☐ No

(2) Is telephone service both efficient and effective? ☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones? ☒ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum? ☒ Yes ☐ No

9. SCHOOL BUS DRIVER EXAMINATIONS

EVALUATED
YES

ACTION REQUIRED
None

CORRECTED

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? Special Duty position.

(1) Are tests and test keys kept in a secure place? ☒ Yes ☐ No

(2) How are interested parties advised of testing procedures? Through school district training facilities

(a) Are exams graded in the presence of the applicant, and missed questions discussed? ☒ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly? ☒ Yes ☐ No

(3) How are test disposed of? Shredded by the School Bus Officer.

(4) Is there a specific date and time set aside for testing? ☒ Yes ☐ No

10. COURT INFORMATION PROCEDURES

EVALUATED
YES

ACTION REQUIRED
None

CORRECTED

a. Is there a systematic method of coordinating court appearance matters? ☒ Yes ☐ No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(1) What controls are in place to ensure officers appear in court? Area supervisors conduct periodic checks on officers court appearances and documentation is made on the CHP 118 logs.

(a) How are appearances minimized following cancellations? Subpoena Clerks notifies officers by phone or by written notice.

(b) How are "short notice" cancellations minimized? Notifications are made as soon as the Court Clerk is notified.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases?

☒ Yes ☐ No

(3) Who is responsible for managing the process? OSSU/Subpoena Clerk

(a) Are court officers performing duties that could be handled by clerical personnel?

☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED
YES

ACTION REQUIRED
None

CORRECTED

a. Are the number of authorized libraries being maintained?

☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them?

☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? Employees use designated libraries and return same to original location.

(2) Are publications distinctively marked so they can be readily identified?

☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? See attached.

(b) Is there a listing available of what should be in each library?

☒ Yes ☐ No

(3) Are publications kept up-to-date?

☒ Yes ☐ No

(4) Who files publication changes? The front desk officer handles the filing of updates.

CHAPTER 5
Bakersfield Area 420
10/08/2008

Item 1: Clerical Tasks

(1) The job description for the 415 desk is to be rewritten to include new instruction on the CARS program for A415 data entry. OSSII is aware and the change will be made as soon as possible.

Item 2: Filing System

a. The Administration Files are overdone. It was recommended that files not being used at the current time, be eliminated. OSSII is going to review the HPG 11.1 Field Office File Guide for reference in eliminating the extra files. Upon replacement of the current filing cabinets, these changes will be made.

*Changes have been made since the week of
Nov. 3rd.*

Item 3: Security of Criminal Records

(2) N/A

(2a) N/A

Item 4: Fiscal Procedures

(1b) DL45 receipts are no longer required to be sent to Accounting Section.

(1f) N/A

(2c) N/A

(4c) A CHP 315 is used only when making a purchase through HQ on a Form CHP 43.

b(4) Tire sales – N/A

c. Postage meter security. It is recommended that the security code on the postage meter be changed and that access to the code be limited to only those personnel directly responsible for mail procedures.

c(3) N/A

CHAPTER 5
Bakersfield Area 420
10/08/2008

Item 1: Clerical Tasks

(1) The job description for the 415 desk is to be rewritten to include new instruction on the CARS program for A415 data entry. OSSII is aware and the change will be made as soon as possible. *The job description has been revised.*

The 415 clerk started to rewrite procedure manual right away (10/8/2008). She is half way done.

Item 2: Filing System

a. The Administration Files are overdone. It was recommended that files not being used at the current time, be eliminated. OSSII is going to review the HPG 11.1 Field Office File Guide for reference in eliminating the extra files. Upon replacement of the current filing cabinets, these changes will be made.

Item 3: Security of Criminal Records

(2) N/A

(2a) N/A

Item 4: Fiscal Procedures

(1b) DL45 receipts are no longer required to be sent to Accounting Section.

(1f) N/A

(2c) N/A

(4c) A CHP 315 is used only when making a purchase through HQ on a Form CHP 43.

b(4) Tire sales – N/A

c. Postage meter security. It is recommended that the security code on the postage meter be changed and that access to the code be limited to only those personnel directly responsible for mail procedures.

c(3) N/A

Chapter 5
Bakersfield Area
Pg. 2

Item 7: Office Equipment

(8) PC manuals and other documentation are removed from equipment when released from HQ to assigned areas.

Item 8: Public Contacts

a(1) Extended office hours were discontinued due to lack of public interest.

MISCELLANEOUS COMMENT:

It was noticed that one of the OA's has a coffee pot in her cubicle. It is recommended that this unit be placed somewhere else in the office in order to minimize spills on equipment, carpeting and paperwork. This may be considered a safety hazard by OSHA, or the Fire Marshall.

The coffee pot is no longer in the employee's cubicle. It is now in the Break Room.

M e m o r a n d u m

Date: November 6, 2008

To: Bakersfield Area

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Coalinga Area

File No.: 495.13682

Subject: HPG 22.1, AREA RESOURCES MANAGEMENT GUIDE, INSPECTIONS

On October 8, 2008, a team comprised of Sergeant Larkin Vander Mel, Office Services Supervisors Paula McSheehy and Lorie Berger and I completed three Area Management Evaluations on the Bakersfield Area per HPG 22.1, Area Resources Management Guide. The three Area Management Evaluations were Office Management, Occupational Safety and Special Functions. Utilizing the procedures and checklists provided in HPG 22.1 as well as through interviews conducted of the affected personnel, the following is a summation of the results of each evaluation.

During the Office Management (chapter 5) evaluation, Office Services Supervisors McSheehy and Berger noted:

- The job description for the 415 desk needs to be rewritten to include the new instructions on the CARS program for the A415 data entry.
- The Administrative files are overdone. It is recommended that files not being used at the current time be eliminated.
- It is recommended the security code on the postage meter be changed and the access code be limited to only those personnel directly responsible for mail procedures.

Lieutenant D. Knoff conducted the Occupational Safety (chapter 12) evaluation. Lieutenant Knoff noted the following:

- On August 26, 2008, Sergeant L. Logan, of the Bakersfield Area, conducted an informal occupational safety evaluation. The results of the evaluation were forwarded to the Central Division Occupational Safety Coordinator. During the formal evaluation, Lieutenant Knoff discussed the informal evaluation with Sergeant Logan. During the discussion, Sergeant Logan identified several items from the informal evaluation that had required action. He further explained all identified items had been competed and action taken to remedy any discrepancies. No further action is required.

Safety, Service, and Security

Bakersfield Area
Page 2
November 6, 2008

Sergeant L. Vander Mel conducted the Special Functions (chapter 15) evaluation. No significant discrepancies were noted. Based upon the procedures and checklist provided and the interviews of the affected personnel, the Bakersfield Area's special functions are functioning within guidelines set forth in HPG 22.1, Area Resources Guide.

A handwritten signature in black ink, appearing to read 'D. Knoff', with a stylized flourish at the end.

D.W. KNOFF, Lieutenant
Commander

cc: Assistant Chief R. Clements

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009



10/10/08
FILE COPY

AREA

Bakersfield

EVALUATED BY

Sergeant Skieresz

DIVISION

Central

NUMBER

5

DATE

05/21/2008

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION

☒ Formal Evaluation

☐ Informal Evaluation

FOLLOW-UP REQUIRED

☐ Correction Report

☐ Yes

☒ No

BY

SUSPENSE DATE

COMMANDER'S REVIEW

DATE

[Signature] 10-10-08

1. CLERICAL TASKS

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Is the office well organized?

☒ Yes

☐ No

(1) Are there written job descriptions?

☒ Yes

☐ No

(a) Does clerical staff have their job description at their desk?

☒ Yes

☐ No

(b) Does clerical staff understand what is expected of them?

☒ Yes

☐ No

(2) Are similar activities grouped together to promote efficiency?

☒ Yes

☐ No

(3) If tape recorders are used, can clerical employees transcribe effectively?

☒ Yes

☐ No

(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?

☒ Yes

☐ No

(5) Can another clerical employee assume the duties of a clerical employee who is absent?

☒ Yes

☐ No

b. Is the Office Services Supervisor (OSS) effective?

☒ Yes

☐ No

(1) Does he/she properly apply management philosophies and supervisory skills?

☒ Yes

☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?

☒ Yes

☐ No

(b) Is the clerical supervisor an effective manager?

☒ Yes

☐ No

(2) Does the OSS identify employees with supervisory potential?

☒ Yes

☐ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development?

☒ Yes

☐ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?

☒ Yes

☐ No

(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?

☒ Yes

☐ No

(3) Does the supervisor set a good example?

☒ Yes

☐ No

(a) Does he/she show a willingness to assist subordinate personnel?

☒ Yes

☐ No

(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?

☒ Yes

☐ No

(4) If there is more than one OSS, is the work and supervision evenly distributed?

☐ Yes

☐ No

(5) Does the OSS participate in Area staff meetings?

☒ Yes

☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

2. FILING SYSTEM

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?

☒ Yes

☐ No

b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?

☒ Yes

☐ No

(1) How far back are accident reports being maintained? 4 years plus current year.

(2) Is there a filing backlog?

☒ Yes

☐ No

(3) Is there evidence of recent office review?

☒ Yes

☐ No

(4) How are Management and All Commanders Memorandums filed and purged?

Memorandums are filed administratively by

the OSS II and purged on a 5 year cycle.

(5) Are Training and Information Bulletins filed?

☒ Yes

☐ No

(a) If so, how are they located?

They are located in logs and binders.

(6) Do all clerical employees understand the filing system?

☒ Yes

☐ No

(7) Does the Area have an effective suspense system?

☒ Yes

☐ No

(a) Do all supervisors take advantage of the suspense system?

☒ Yes

☐ No

c. Are personnel files properly secured and access limited?

☒ Yes

☐ No

(1) Are the requirements of the Information Practices Act being followed?

☒ Yes

☐ No

(2) Is a periodic review done on a regular basis?

☒ Yes

☐ No

(a) If so, how often? Annual review at 118 evaluation.

(3) Is annual employee review and updating conducted as required?

☒ Yes

☐ No

(4) Are only required or permitted items contained in personnel folders?

☒ Yes

☐ No

3. SECURITY OF CRIMINAL RECORDS

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?

☒ Yes

☐ No

(1) Has the Area designated a specific person to release criminal offender record information?

☒ Yes

☐ No

(a) Do any other persons release this information?

☒ Yes

☐ No

(b) Has the designated person completed the required training?

☒ Yes

☐ No

(c) Are safeguards in place to verify telephone inquiries prior to disclosure?

☒ Yes

☐ No

(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?

☒ Yes

☐ No

(a) Are entries maintained for the prescribed period of time?

☒ Yes

☐ No

FISCAL PROCEDURES

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Have discrepancies on the most current audit reports been corrected?

☒ Yes

☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability?	Separate petty cash and change fund; Quarterly audits conducted.	
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor?

☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval?

☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies?

Weekly transmittals are taken to

the post office each Friday. Transmittals are reviewed by the Commander or his designee.

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday?

☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier?

☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate?

☒ Yes ☐ No

(4) Do tire sale transactions comply with policy?

☒ Yes ☐ No

c. Is security of the postage machine adequate?

☒ Yes ☐ No

(1) Is the machine locked when not in use?

☒ Yes ☐ No

(2) Is the meter reading documented as required?

☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced?

☒ Yes ☐ No**SUPPLY REQUISITIONS (CHP 41)**

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Are requisitions prepared properly?

☒ Yes ☐ No

(1) Who prepares them? Clerical staff (Melissa Lara)

(2) Has a practical stock level been established and maintained?

☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared?

☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to?

☒ Yes ☐ No

(b) Is there a high number of emergency requisitions?

☐ Yes ☒ No

b. Are items stored properly in a storeroom?

☒ Yes ☐ No

(1) Is there convenient access for regularly used items?

☒ Yes ☐ No

(2) Have obsolete items been removed?

☒ Yes ☐ No**SUPPLIES**

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Are all cameras assigned to the command accounted for?

☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories?

☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual?

☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule?

Cameras are checked on a yearly basis by a supervisor to ensure

they are in good working order.

b. Are all extenders assigned to the command accounted for?

☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) Is there adequate security for extender batteries and other supplies?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
7. OFFICE EQUIPMENT	EVALUATED Yes	ACTION REQUIRED No
CORRECTED		
a. Are office machines in good condition and properly maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Is the vendor complying with maintenance contract provisions?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Is there a shortage or surplus of machines?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b. Is the Management Information System (MIS) used properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who is authorized to use the equipment?	All clerical personnel.	
(2) How is training provided, and by whom?	Training is provided by Area personnel with knowledge of the MIS.	
(3) Is there a usage schedule for uniformed and nonuniformed personnel?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Are there controls in place to ensure confidentiality?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5) Are all personnel aware of how to request repairs after normal business hours?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(7) What system is used to ensure proper routing of MIS information?	Lieutenant reviews and routes incoming MIS information.	
c. Are personal computers used properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who is authorized to use the equipment?	All Area employees.	
(2) How is training provided, and by whom?	Officer Ceregatti is the computer/LAN coordinator and provides training on an as needed basis to Area personnel.	
(a) How many employees are trained in its use?	All Area employees.	
(3) Are there restrictions on the time its used?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(a) Is there a schedule for uniformed and nonuniformed employees?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Is confidential or sensitive information being stored on a PC hard drive?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) If so, is the PC password protected?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5) What is the PC being used for?	Work related reports and electronic mail.	
(6) Are controls present to prevent inappropriate/personal use of the computer?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(7) Are backup procedures being performed on a regular basis? ☒ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area? ☒ Yes ☐ No

(8) Are PC manuals and other documentation available to all users? ☒ Yes ☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged? The LAN/computer coordinator periodically reviews documents and files to ensure Area has the most current information and older forms are purged.

(10) Are employees aware of the availability of assistance in resolving computer related problems? ☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs? ☒ Yes ☐ No

8. PUBLIC CONTACTS

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Does the office have extended office hours? ☐ Yes ☒ No

(1) If so, are they adequate and effective? ☐ Yes ☐ No

b. Are persons served promptly and courteously? ☒ Yes ☐ No

(1) Are backup personnel immediately available? ☒ Yes ☐ No

(2) Is telephone service both efficient and effective? ☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones? ☒ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum? ☒ Yes ☐ No

9. SCHOOL BUS DRIVER EXAMINATIONS

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? School bus driver testing is a function of special duty.

(1) Are tests and test keys kept in a secure place? ☒ Yes ☐ No

(2) How are interested parties advised of testing procedures? Sponsorship through school district.

(a) Are exams graded in the presence of the applicant, and missed questions discussed? ☒ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly? ☒ Yes ☐ No

(3) How are test disposed of? Shredded.

(4) Is there a specific date and time set aside for testing? ☒ Yes ☐ No

10. COURT INFORMATION PROCEDURES

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Is there a systematic method of coordinating court appearance matters? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) What controls are in place to ensure officers appear in court? Area supervisors conduct periodic checks on officers' court appearances and documentation is made in the CHP 118 log.

(a) How are appearances minimized following cancellations? The subpoena clerk notifies the officer by phone if they are not scheduled for work prior to the court appearance or by written notice when they return to work, prior to the court appearance.

(b) How are "short notice" cancellations minimized? As soon as the subpoena clerk is notified of a cancellation by the court, the clerk makes notification to the officer to minimize "short notice" cancellations.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases? ☒ Yes ☐ No

(3) Who is responsible for managing the process? SUBPOENA CLERK

(a) Are court officers performing duties that could be handled by clerical personnel? ☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are the number of authorized libraries being maintained? ☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them? ☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? All manuals are available to employees through the online publications. No manuals are "loaned" out to employees.

(2) Are publications distinctively marked so they can be readily identified? ☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? Sufficient.

(b) Is there a listing available of what should be in each library? ☒ Yes ☐ No

(3) Are publications kept up-to-date? ☒ Yes ☐ No

(4) Who files publication changes? Front desk officer.

AREA SONORA	DIVISION CENTRAL	NUMBER 425
EVALUATED BY J. KEASTER		DATE 12/11/2008

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input type="checkbox"/> Formal Evaluation <input checked="" type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		COMMANDER'S REVIEW	
<input type="checkbox"/> Correction Report BY _____		DATE	

1. CLERICAL TASKS

EVALUATED J. Jacobs	ACTION REQUIRED Yes	CORRECTED Yes
------------------------	------------------------	------------------

a. Is the office well organized? ☒ Yes ☐ No

(1) Are there written job descriptions? ☒ Yes ☐ No

(a) Does clerical staff have their job description at their desk? ☒ Yes ☐ No

(b) Does clerical staff understand what is expected of them? ☒ Yes ☐ No

(2) Are similar activities grouped together to promote efficiency? ☒ Yes ☐ No

(3) If tape recorders are used, can clerical employees transcribe effectively? ☒ Yes ☐ No

(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.? ☒ Yes ☐ No

(5) Can another clerical employee assume the duties of a clerical employee who is absent? ☒ Yes ☐ No

b. Is the Office Services Supervisor (OSS) effective? ☒ Yes ☐ No

(1) Does he/she properly apply management philosophies and supervisory skills? ☒ Yes ☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates? ☒ Yes ☐ No

(b) Is the clerical supervisor an effective manager? ☒ Yes ☐ No

(2) Does the OSS identify employees with supervisory potential? ☐ Yes ☐ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development? ☒ Yes ☐ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees? ☒ Yes ☐ No

(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees? ☐ Yes ☒ No

(3) Does the supervisor set a good example? ☒ Yes ☐ No

(a) Does he/she show a willingness to assist subordinate personnel? ☒ Yes ☐ No

(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor? ☒ Yes ☐ No

(4) If there is more than one OSS, is the work and supervision evenly distributed? ☒ Yes ☐ No

(5) Does the OSS participate in Area staff meetings? ☒ Yes ☐ No

2. FILING SYSTEM	EVALUATED J. Keaster	ACTION REQUIRED Yes	CORRECTED Yes
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) How far back are accident reports being maintained? 4 years			
(2) Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3) Is there evidence of recent office review?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) How are Management and All Commanders Memorandums filed and purged? They are given to the Commander, then they are routed accordingly. Purged per the Record Retention Schedule.			
(5) Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how are they located? In the Commanders office and in the hall way library that is easily accessible.			
(6) Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do all supervisors take advantage of the suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is a periodic review done on a regular basis?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how often? Quarterly			
(3) Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. SECURITY OF CRIMINAL RECORDS	EVALUATED J. Keaster	ACTION REQUIRED None	CORRECTED
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Has the Area designated a specific person to release criminal offender record information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do any other persons release this information?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(b) Has the designated person completed the required training?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are entries maintained for the prescribed period of time?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. FISCAL PROCEDURES	EVALUATED J. Keaster	ACTION REQUIRED None	CORRECTED
a. Have discrepancies on the most current audit reports been corrected?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability? All items are in locked drawers.		
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? The transmittal is prepared and signed by the Commander every Friday morning.

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? ☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? ☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate? ☒ Yes ☐ No

(4) Do tire sale transactions comply with policy? ☒ Yes ☐ No

c. Is security of the postage machine adequate? ☒ Yes ☐ No

(1) Is the machine locked when not in use? ☒ Yes ☐ No

(2) Is the meter reading documented as required? ☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? ☒ Yes ☐ No

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED
J. Keaster

ACTION REQUIRED
None

CORRECTED

a. Are requisitions prepared properly? ☒ Yes ☐ No

(1) Who prepares them? Office Assistant, Office Supervisor, and Auto Tech.

(2) Has a practical stock level been established and maintained? ☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? ☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to? ☒ Yes ☐ No

(b) Is there a high number of emergency requisitions? ☐ Yes ☒ No

b. Are items stored properly in a storeroom? ☒ Yes ☐ No

(1) Is there convenient access for regularly used items? ☒ Yes ☐ No

(2) Have obsolete items been removed? ☒ Yes ☐ No

6. SUPPLIES

EVALUATED
J. Keaster

ACTION REQUIRED
None

CORRECTED

a. Are all cameras assigned to the command accounted for? ☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories? ☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual? ☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? Quarterly or as needed

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

(1) Is there adequate security for extender batteries and other supplies?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
7. OFFICE EQUIPMENT	EVALUATED J. Keaster	ACTION REQUIRED None
a. Are office machines in good condition and properly maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Is the vendor complying with maintenance contract provisions?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Is there a shortage or surplus of machines?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b. Is the Management Information System (MIS) used properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who is authorized to use the equipment? Office Supervisor, Sergeants and Office Assistant.		
(2) How is training provided, and by whom? By the Office Supervisor, Sergeants and other office personnel who have been trained by the vendor on proper operation.		
(3) Is there a usage schedule for uniformed and nonuniformed personnel?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Are there controls in place to ensure confidentiality?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5) Are all personnel aware of how to request repairs after normal business hours?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(7) What system is used to ensure proper routing of MIS information? Monitored by the Supervisors.		
c. Are personal computers used properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who is authorized to use the equipment? CHP employees who have been properly trained, and have a need to use them.		
(2) How is training provided, and by whom? Officer Thoma, Lan co-ordinator trains all CHP employees in need of training.		
(a) How many employees are trained in its use? 30		
(3) Are there restrictions on the time its used?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(a) Is there a schedule for uniformed and nonuniformed employees?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Is confidential or sensitive information being stored on a PC hard drive?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) If so, is the PC password protected?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5) What is the PC being used for? Routine duties required for Departmental operation.		
(6) Are controls present to prevent inappropriate/personal use of the computer?		
	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

(7) Are backup procedures being performed on a regular basis?

☒ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area?

☒ Yes ☐ No

(8) Are PC manuals and other documentation available to all users?

☒ Yes ☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged? Area consistently checks the revision dates and purges when necessary.

(10) Are employees aware of the availability of assistance in resolving computer related problems?

☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs?

☒ Yes ☐ No**8. PUBLIC CONTACTS**EVALUATED
J. KeasterACTION REQUIRED
None

CORRECTED

a. Does the office have extended office hours?

☐ Yes ☒ No

(1) If so, are they adequate and effective?

☐ Yes ☐ No

b. Are persons served promptly and courteously?

☒ Yes ☐ No

(1) Are backup personnel immediately available?

☒ Yes ☐ No

(2) Is telephone service both efficient and effective?

☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones?

☒ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum?

☒ Yes ☐ No**9. SCHOOL BUS DRIVER EXAMINATIONS**EVALUATED
J. KeasterACTION REQUIRED
None

CORRECTED

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? Special Duty.

(1) Are tests and test keys kept in a secure place?

☒ Yes ☐ No

(2) How are interested parties advised of testing procedures? The school bus Officer makes his own appointments with school supervisors.

(a) Are exams graded in the presence of the applicant, and missed questions discussed?

☒ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly?

☒ Yes ☐ No

(3) How are test disposed of? Cross shredded.

(4) Is there a specific date and time set aside for testing?

☐ Yes ☒ No**10. COURT INFORMATION PROCEDURES**EVALUATED
J. KeasterACTION REQUIRED
None

CORRECTED

a. Is there a systematic method of coordinating court appearance matters?

☒ Yes ☐ No

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

(1) What controls are in place to ensure officers appear in court? Supervisors monitor subpoenas and check 415's to ensure attendance, regular court visits by Sergeants during testimony, and a Court calendar is posted in the briefing room advising Officers of court dates and times.

(a) How are appearances minimized following cancellations? If the Officer is working, a call off is placed in his office mail box. If the Officer is not working, a phone call is made to his residence.

(b) How are "short notice" cancellations minimized? The Officer is notified as soon as the court notifies the Area office. If the Area sees an increase in short notice cancellations, then a meeting is scheduled with the District Attorney to resolve the issue.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases?

☒ Yes ☐ No

(3) Who is responsible for managing the process? Office Supervisor.

(a) Are court officers performing duties that could be handled by clerical personnel?

☒ Yes ☐ No
11. DEPARTMENTAL MANUALS

EVALUATED	ACTION REQUIRED	CORRECTED
J. Keaster	None	

a. Are the number of authorized libraries being maintained?

☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them?

☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? A sign out card.

(2) Are publications distinctively marked so they can be readily identified?

☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient?

(b) Is there a listing available of what should be in each library?

☒ Yes ☐ No

(3) Are publications kept up-to-date?

☒ Yes ☐ No

(4) Who files publication changes? The Commander files his own after reading them, Sergeants are responsible for the secondary library.

#10 Court Information Procedures.

(3) (A) Clerical personnel could process the subpoenas for distribution and maintain the subpoena log, however, currently the court and subpoena Officers co-ordinate and track the subpoenas.

CHP 454 (Rev. 5-06) OPI 009


DATE: 12/12/2008

[illegible]

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

AREA BUTTONWILLOW	DIVISION CENTRAL	NUMBER 462
EVALUATED BY P. McSHEEHY, OSSI		DATE 12/30/2008

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		COMMANDER'S REVIEW 	DATE 12/30/2008
BY _____			

1. CLERICAL TASKS	EVALUATED 12/30/2008	ACTION REQUIRED None	CORRECTED
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a. Is the office well organized? ☒ Yes ☐ No

(1) Are there written job descriptions? ☒ Yes ☐ No

(a) Does clerical staff have their job description at their desk? ☒ Yes ☐ No

(b) Does clerical staff understand what is expected of them? ☒ Yes ☐ No

(2) Are similar activities grouped together to promote efficiency? ☒ Yes ☐ No

(3) If tape recorders are used, can clerical employees transcribe effectively? ☒ Yes ☐ No

(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.? ☒ Yes ☐ No

(5) Can another clerical employee assume the duties of a clerical employee who is absent? ☒ Yes ☐ No

b. Is the Office Services Supervisor (OSS) effective? ☒ Yes ☐ No

(1) Does he/she properly apply management philosophies and supervisory skills? ☒ Yes ☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates? ☒ Yes ☐ No

(b) Is the clerical supervisor an effective manager? ☒ Yes ☐ No

(2) Does the OSS identify employees with supervisory potential? ☒ Yes ☐ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development? ☒ Yes ☐ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees? ☒ Yes ☐ No

(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees? ☒ Yes ☐ No

(3) Does the supervisor set a good example? ☒ Yes ☐ No

(a) Does he/she show a willingness to assist subordinate personnel? ☒ Yes ☐ No

(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor? ☒ Yes ☐ No

(4) If there is more than one OSS, is the work and supervision evenly distributed? **N/A** ☐ Yes ☐ No

(5) Does the OSS participate in Area staff meetings? ☒ Yes ☐ No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

	EVALUATED	ACTION REQUIRED	CORRECTED
2. FILING SYSTEM	12/30/2008	NONE	
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) How far back are accident reports being maintained? 4 YEARS ROTATING			
(2) Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3) Is there evidence of recent office review?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) How are Management and All Commanders Memorandums filed and purged? Sgts., Lt., & OSSI file respectively and purge when the All Commanders Memos become policy			
(5) Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how are they located? By date in a binder located in the Clerical area.			
(6) Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do all supervisors take advantage of the suspense system?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
c. Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is a periodic review done on a regular basis?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how often? At the time of annual review			
(3) Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. SECURITY OF CRIMINAL RECORDS	12/30/2008	None	
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Has the Area designated a specific person to release criminal offender record information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do any other persons release this information?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(b) Has the designated person completed the required training?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(a) Are entries maintained for the prescribed period of time?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. FISCAL PROCEDURES	12/30/2008	NONE	
a. Have discrepancies on the most current audit reports been corrected?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability? Fiscal items are secured under lock and key.		
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor?

☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval?

☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? Commander purchases the money order on a weekly basis and signs the transmittals when they are completed.

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday?

☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier?

☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate?

☒ Yes ☐ No

(4) Do tire sale transactions comply with policy?

☒ Yes ☐ No

c. Is security of the postage machine adequate?

☒ Yes ☐ No

(1) Is the machine locked when not in use?

☒ Yes ☐ No

(2) Is the meter reading documented as required?

N/A

☐ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced?

N/A

☐ Yes ☐ No

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED
12/30/2008

ACTION REQUIRED
None

CORRECTED

a. Are requisitions prepared properly?

☒ Yes ☐ No

(1) Who prepares them? OSSI

(2) Has a practical stock level been established and maintained?

☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared?

☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to?

☒ Yes ☐ No

(b) Is there a high number of emergency requisitions?

☐ Yes ☒ No

b. Are items stored properly in a storeroom?

☒ Yes ☐ No

(1) Is there convenient access for regularly used items?

☒ Yes ☐ No

(2) Have obsolete items been removed?

☐ Yes ☒ No

6. SUPPLIES

EVALUATED
12/30/2008

ACTION REQUIRED
None

CORRECTED

a. Are all cameras assigned to the command accounted for?

☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories?

☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual?

☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? When required

b. Are all extenders assigned to the command accounted for?

☒ Yes ☐ No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(1) Is there adequate security for extender batteries and other supplies?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
7. OFFICE EQUIPMENT	EVALUATED 12/30/2008	ACTION REQUIRED None	CORRECTED
a. Are office machines in good condition and properly maintained?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Is the vendor complying with maintenance contract provisions?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Is there a shortage or surplus of machines?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b. Is the Management Information System (MIS) used properly?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who is authorized to use the equipment? All employees			
(2) How is training provided, and by whom? LAN Coordinator			
(3) Is there a usage schedule for uniformed and nonuniformed personnel?		N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are there controls in place to ensure confidentiality?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(5) Are all personnel aware of how to request repairs after normal business hours?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) What system is used to ensure proper routing of MIS information? E-mail			
c. Are personal computers used properly?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Who is authorized to use the equipment? All employees			
(2) How is training provided, and by whom? LAN Coordinator			
(a) How many employees are trained in its use? All employees			
(3) Are there restrictions on the time its used?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(a) Is there a schedule for uniformed and nonuniformed employees?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(4) Is confidential or sensitive information being stored on a PC hard drive?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(a) If so, is the PC password protected?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(5) What is the PC being used for? All daily work			
(6) Are controls present to prevent inappropriate/personal use of the computer?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

(7) Are backup procedures being performed on a regular basis?

☒ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area?

☒ Yes ☐ No

(8) Are PC manuals and other documentation available to all users?

☐ Yes ☒ No

(9) What procedures are in place to ensure out-of-date documents and files are purged? OSSI reviews and purges approximately every six months

(10) Are employees aware of the availability of assistance in resolving computer related problems?

☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs?

☒ Yes ☐ No**8. PUBLIC CONTACTS**EVALUATED
12/30/2008ACTION REQUIRED
None

CORRECTED

a. Does the office have extended office hours?

☐ Yes ☒ No

(1) If so, are they adequate and effective?

☐ Yes ☐ No

b. Are persons served promptly and courteously?

☒ Yes ☐ No

(1) Are backup personnel immediately available?

☒ Yes ☐ No

(2) Is telephone service both efficient and effective?

☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones?

☒ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum?

☒ Yes ☐ No**9. SCHOOL BUS DRIVER EXAMINATIONS**EVALUATED
12/30/2008ACTION REQUIRED
None

CORRECTED

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? Special Duty

(1) Are tests and test keys kept in a secure place?

☒ Yes ☐ No

(2) How are interested parties advised of testing procedures? Proper channels for schools and churches

(a) Are exams graded in the presence of the applicant, and missed questions discussed?

☒ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly?

☒ Yes ☐ No

(3) How are test disposed of? Shredded

(4) Is there a specific date and time set aside for testing?

☐ Yes ☒ No**10. COURT INFORMATION PROCEDURES**EVALUATED
12/30/2008ACTION REQUIRED
None

CORRECTED

a. Is there a systematic method of coordinating court appearance matters?

☒ Yes ☐ No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(1) What controls are in place to ensure officers appear in court? Local courts advise Area if officers are not in attendance.

(a) How are appearances minimized following cancellations? Officers are notified by cancellation notice if on duty, phone calls are made if on days off.

(b) How are "short notice" cancellations minimized? Cancellation notices and phone calls.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases?

☒ Yes ☐ No

(3) Who is responsible for managing the process? Subpoena Clerk

(a) Are court officers performing duties that could be handled by clerical personnel?

☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED
12/30/2008

ACTION REQUIRED
None

CORRECTED

a. Are the number of authorized libraries being maintained?

☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them?

☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? Employees can request and sign out manuals from the OSSI if not available through the intranet

(2) Are publications distinctively marked so they can be readily identified?

☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? Sufficient

(b) Is there a listing available of what should be in each library?

☐ Yes ☒ No

(3) Are publications kept up-to-date?

☒ Yes ☐ No

(4) Who files publication changes? Sgt., Lt., or Clerical personnel, depending on where the library is.

BUTTONWILLOW AREA 426

Chapter 5 Inspection

12/30/2008

3. Security of Criminal Records

(2) D.O.J. no longer requires a log to be kept, provided the officer who is running the criminal history has entered all the appropriate information on the MIS screen.

4. Fiscal Procedures

(1) (b) Fiscal Management Section no longer requires the DL45 be forwarded to them.

(1) (f) The yellow copy of the counter receipt is sent in the transmittal weekly. The DL45's are no longer required.

(2) (c) Std. 439 is no longer used.

(3) (c) Price quotations are obtained when applicable. The Area is so remote that this procedure is not always possible.

5. Supply Requisitions (CHP 41)

b (2) Obsolete items are in the process of being purged.

9. School Bus Driver Examinations

(4) Specific date and time is set on an as needed basis. School Districts and churches are limited in this area.

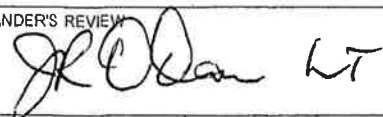
AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

AREA FORT TEJON	DIVISION CENTRAL	NUMBER 430
EVALUATED BY LORIE BERGER		DATE 10/30/2008

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		CORRECTION REPORT <input type="checkbox"/> Correction Report BY _____	
1. CLERICAL TASKS		COMMANDER'S REVIEW  LT	DATE 12-4-08
		EVALUATED 10/30/2008	ACTION REQUIRED CORRECTED

a. Is the office well organized? ☒ Yes ☐ No

(1) Are there written job descriptions? ☒ Yes ☐ No

(a) Does clerical staff have their job description at their desk? ☒ Yes ☐ No

(b) Does clerical staff understand what is expected of them? ☒ Yes ☐ No

(2) Are similar activities grouped together to promote efficiency? ☒ Yes ☐ No

(3) If tape recorders are used, can clerical employees transcribe effectively? ☒ Yes ☐ No

(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.? ☒ Yes ☐ No

(5) Can another clerical employee assume the duties of a clerical employee who is absent? ☒ Yes ☐ No

b. Is the Office Services Supervisor (OSS) effective? ☒ Yes ☐ No

(1) Does he/she properly apply management philosophies and supervisory skills? ☒ Yes ☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates? ☒ Yes ☐ No

(b) Is the clerical supervisor an effective manager? ☒ Yes ☐ No

(2) Does the OSS identify employees with supervisory potential? ☒ Yes ☐ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development? *During Yearly Review* ☒ Yes ☐ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees? *OUTSIDE TRAINING IS AVAILABLE* ☒ Yes ☐ No

(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees? ☒ Yes ☐ No

(3) Does the supervisor set a good example? ☒ Yes ☐ No

(a) Does he/she show a willingness to assist subordinate personnel? ☒ Yes ☐ No

(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor? ☒ Yes ☐ No

(4) If there is more than one OSS, is the work and supervision evenly distributed? ☒ Yes ☐ No

(5) Does the OSS participate in Area staff meetings? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

2. FILING SYSTEM	EVALUATED 10/30/2008	ACTION REQUIRED	CORRECTED
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide? <u>General files checked</u>			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) How far back are accident reports being maintained? <u>4 years</u>			
(2) Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3) Is there evidence of recent office review? <u>In Audit file.</u>			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) How are Management and All Commanders Memorandums filed and purged? <u>FILED BY NUMBER</u> <u>AND PURGED BY COMMANDER</u>			
(5) Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how are they located? <u>BRIEFING ROOM</u>			
(6) Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do all supervisors take advantage of the suspense system? <u>Checked every day</u>			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is a periodic review done on a regular basis? <u>By officer EHly</u>			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how often? <u>Quarterly</u>			
(3) Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. SECURITY OF CRIMINAL RECORDS	EVALUATED 10/30/2008	ACTION REQUIRED	CORRECTED
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Has the Area designated a specific person to release criminal offender record information? <u>ofcr. EHly</u>			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do any other persons release this information?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(b) Has the designated person completed the required training?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Are safeguards in place to verify telephone inquiries prior to disclosure? <u>None taken by Phone</u>			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are entries maintained for the prescribed period of time?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. FISCAL PROCEDURES	EVALUATED 10/30/2008	ACTION REQUIRED	CORRECTED
a. Have discrepancies on the most current audit reports been corrected?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) Are all change fund and collections handled and processed according to policy? ☒ Yes ☐ No

(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded? *Kept in locked locker* ☒ Yes ☐ No

(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section? ☒ Yes ☐ No

(c) Is there a separation of duties between cashier responsibilities and transmittal of collections? ☒ Yes ☐ No

(d) Are collections and change funds safeguarded? *locked drawer* ☒ Yes ☐ No

(e) Are checks promptly endorsed and cash receipts reconciled daily? ☒ Yes ☐ No

(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion? ☒ Yes ☐ No

(g) What specific guidelines are in place for security control and accountability? *ALL MONEY IS LOCATED IN LOCKED DRAWERS AT ALL TIMES. QUARTERLY AUDITS ARE CHECK BY SERGEANTS.*

(h) Is a supervisor responsible for review of the system? ☒ Yes ☐ No

(i) Do total collections agree with the total amount of counter receipts and DL45s issued? ☒ Yes ☐ No

(j) Are counter receipts and transmittal records prepared properly? ☒ Yes ☐ No

(k) Are surprise counts of funds performed and documented by the commander or designee? ☒ Yes ☐ No

(2) Are security and accountability procedures in place for the petty cash fund? ☒ Yes ☐ No

(a) Is the petty cash fund used only for authorized purchases within the limited amount? ☒ Yes ☐ No

(b) Are valid authorizations on file? ☒ Yes ☐ No

(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased? ☒ Yes ☐ No

(d) Are there adequate procedures to ensure purchases are properly authorized? ☒ Yes ☐ No

(e) Are surprise counts performed by someone not involved in handling the petty cash fund? ☒ Yes ☐ No

(3) Are X-Number services proper and within departmental and state policy? ☒ Yes ☐ No

(a) Are services procured over \$4,999.99? ☐ Yes ☒ No

(b) Is the amount limit circumvented by splitting procurements? ☐ Yes ☒ No

(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request? ☐ Yes ☒ No

(d) Do invoices itemize charges and reference X-Numbers? ☒ Yes ☐ No

(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor? ☒ Yes ☐ No

(a) Are cardholders familiar with the bank card process, including prohibited and restricted items? ☒ Yes ☐ No

(b) Are purchases within established policy? ☒ Yes ☐ No

(c) Are three price quotations obtained and documented on a CHP 315X? *small Business* ☒ Yes ☐ No

(d) Is the bank card log completed properly? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? AUDITS ARE DONE BY

SERGEANTS AND A MEMO IS DONE AND HAS REQUIRED SIGNATURE BY THE COMMANDER.

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? ☒ Yes ☐ No(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? ☒ Yes ☐ No(3) Are "no collection" transmittals sent when appropriate? ☒ Yes ☐ No(4) Do tire sale transactions comply with policy? ☒ Yes ☐ Noc. Is security of the postage machine adequate? Keys locked up at night ☒ Yes ☐ No(1) Is the machine locked when not in use? locked @ all times ☐ Yes ☐ No(2) Is the meter reading documented as required? N/A ☐ Yes ☒ No(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? N/A ☐ Yes ☒ No**5. SUPPLY REQUISITIONS (CHP 41)**EVALUATED
10/30/2008

ACTION REQUIRED

CORRECTED

a. Are requisitions prepared properly? ☒ Yes ☐ No(1) Who prepares them? AUTO TECH. DOES HIS OWN AND THE OSS 1 PREPARES THE REMAINING(2) Has a practical stock level been established and maintained? ☒ Yes ☐ No(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? ☒ Yes ☐ No(a) Is the quarterly requisition period for this command adhered to? ☒ Yes ☐ No(b) Is there a high number of emergency requisitions? None ☐ Yes ☒ Nob. Are items stored properly in a storeroom? ☒ Yes ☐ No(1) Is there convenient access for regularly used items? Kept in Clerical office ☒ Yes ☐ No(2) Have obsolete items been removed? ☒ Yes ☐ No**6. SUPPLIES**EVALUATED
10/30/2008

ACTION REQUIRED

CORRECTED

a. Are all cameras assigned to the command accounted for? Locked up ☒ Yes ☐ No(1) Are camera cases clean and do they contain the required accessories? ☒ Yes ☐ No(2) Is camera maintenance assigned to a particular individual? officer EH14 ☒ Yes ☐ No(a) What is his/her preventative maintenance schedule? CLEANED YEARLYb. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OP: 009

(1) Is there adequate security for extender batteries and other supplies? *Assigned to each officer* ☒ Yes ☐ No

7. OFFICE EQUIPMENT

EVALUATED
10/30/2008

ACTION REQUIRED

CORRECTED

a. Are office machines in good condition and properly maintained? ☒ Yes ☐ No

(1) Is the vendor complying with maintenance contract provisions? ☒ Yes ☐ No

(2) Is there a shortage or surplus of machines? ☒ Yes ☐ No

b. Is the Management Information System (MIS) used properly? ☒ Yes ☐ No

(1) Who is authorized to use the equipment? CLERICAL STAFF AND SPECIAL DUTY PERSONNEL

(2) How is training provided, and by whom? OSS I PROVIDES TRAINING ALONG WITH OFFICER SOLIZ
AS NEEDED AND REQUIRED

(3) Is there a usage schedule for uniformed and nonuniformed personnel? ☐ Yes ☒ No

(4) Are there controls in place to ensure confidentiality? ☒ Yes ☐ No

(5) Are all personnel aware of how to request repairs after normal business hours? ☒ Yes ☐ No

(6) Is the MIS used to send messages to other offices in lieu of formal memorandums? ☐ Yes ☒ No

(7) What system is used to ensure proper routing of MIS information? CHECKED HOURLY BY OFFICE ASSISTANT

c. Are personal computers used properly? ☒ Yes ☐ No

(1) Who is authorized to use the equipment? ALL PERSONNEL ASSIGNED TO AREA

(2) How is training provided, and by whom? AREA LAN PERSONNEL PROVIDES TRAINING
WHEN NEEDED. OUTSERVICE IS ALSO AVAILABLE WHEN NEEDED.

(a) How many employees are trained in its use? ALL

(3) Are there restrictions on the time its used? ☐ Yes ☒ No

(a) Is there a schedule for uniformed and nonuniformed employees? ☐ Yes ☒ No

(4) Is confidential or sensitive information being stored on a PC hard drive? ☐ Yes ☒ No

(a) If so, is the PC password protected? ☒ Yes ☐ No

(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area? ☒ Yes ☐ No

(5) What is the PC being used for? ENTRIES INTO MIS FOR CITATION, TIME KEEPING, AREA CORRESPONDENCE
AND MISCELLANEOUS CORRESPONDENCE

(6) Are controls present to prevent inappropriate/personal use of the computer? ☒ Yes ☐ No

(7) Are backup procedures being performed on a regular basis? weekly ☒ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area? stored off site ☒ Yes ☐ No

(8) Are PC manuals and other documentation available to all users? ☒ Yes ☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged? EMAIL PURGED EVERY 90 DAYS

BY HEADQUARTERS.

(10) Are employees aware of the availability of assistance in resolving computer related problems? ☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs? installed in all PCs ☒ Yes ☐ No

8. PUBLIC CONTACTS

EVALUATED
10/30/2008

ACTION REQUIRED

CORRECTED

a. Does the office have extended office hours? ☐ Yes ☒ No

(1) If so, are they adequate and effective? N/A ☐ Yes ☐ No

b. Are persons served promptly and courteously? ☒ Yes ☐ No

(1) Are backup personnel immediately available? ☒ Yes ☐ No

(2) Is telephone service both efficient and effective? ☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones? ☒ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum? ☒ Yes ☐ No

9. SCHOOL BUS DRIVER EXAMINATIONS

EVALUATED
10/30/2008

ACTION REQUIRED

CORRECTED

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? SPECIAL DUTY OFFICER - MARK EHLI

(1) Are tests and test keys kept in a secure place? ☒ Yes ☐ No

(2) How are interested parties advised of testing procedures? AREA SCHOOLS AND CHURCHES REFER THE PARTIES.

(a) Are exams graded in the presence of the applicant, and missed questions discussed? ☒ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly? ☒ Yes ☐ No

(3) How are test disposed of? ALL OLD TESTS ARE SHREDDED

(4) Is there a specific date and time set aside for testing? ☒ Yes ☐ No

10. COURT INFORMATION PROCEDURES

EVALUATED
10/30/2008

ACTION REQUIRED

CORRECTED

a. Is there a systematic method of coordinating court appearance matters? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) What controls are in place to ensure officers appear in court? SERGEANTS CHECK QUARTERLY

(a) How are appearances minimized following cancellations? OFFICERS ARE CONTACTED AS SOON AS POSSIBLE
REGARDING THE CANCELLATIONS. THEY ARE CONTACTED AT HOME OR BY CELLULAR PHONE.

(b) How are "short notice" cancellations minimized? OFFICERS ARE CONTACTED BY CELLULAR PHONE OR AT
HOME. NOTICES ARE ALSO PUT IN THEIR MAIL BOX.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all
appropriate cases?

☒ Yes ☐ No

(3) Who is responsible for managing the process? OSS I

(a) Are court officers performing duties that could be handled by clerical personnel?

☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED
10/30/2008

ACTION REQUIRED

CORRECTED

a. Are the number of authorized libraries being maintained?

☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them?

☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? MANUALS ARE NOT LOANED.
OFFICERS ARE ABLE TO OBTAIN MANUALS ON CHP WEBSITE.

(2) Are publications distinctively marked so they can be readily identified?

☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? SUFFICIENT

(b) Is there a listing available of what should be in each library?

☒ Yes ☐ No

(3) Are publications kept up-to-date?

☒ Yes ☐ No

(4) Who files publication changes? OSS I DOES THE CLERICAL LIBRARY AND THE AREA COMMANDER
DOES HIS OWN LIBRARY.

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

AREA Fort Tejon	DIVISION Central	NUMBER
EVALUATED BY Sgt. Brooks, #9967		DATE 10/15/2008

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input type="checkbox"/> Formal Evaluation <input checked="" type="checkbox"/> Informal Evaluation	SUSPENSE DATE 10/15/2008
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No BY	COMMANDER'S REVIEW <i>JRC</i> LT
	DATE 10-21-08
1. CLERICAL TASKS	EVALUATED 10/15/08
	ACTION REQUIRED
	CORRECTED

a. Is the office well organized? ☒ Yes ☐ No

(1) Are there written job descriptions? ☒ Yes ☐ No

(a) Does clerical staff have their job description at their desk? ☒ Yes ☐ No

(b) Does clerical staff understand what is expected of them? ☒ Yes ☐ No

(2) Are similar activities grouped together to promote efficiency? ☒ Yes ☐ No

(3) If tape recorders are used, can clerical employees transcribe effectively? ☐ Yes ☐ No

(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.? ☒ Yes ☐ No

(5) Can another clerical employee assume the duties of a clerical employee who is absent? ☒ Yes ☐ No

b. Is the Office Services Supervisor (OSS) effective? ☒ Yes ☐ No

(1) Does he/she properly apply management philosophies and supervisory skills? ☒ Yes ☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates? ☒ Yes ☐ No

(b) Is the clerical supervisor an effective manager? ☒ Yes ☐ No

(2) Does the OSS identify employees with supervisory potential? ☐ Yes ☒ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development? ☐ Yes ☒ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees? ☐ Yes ☒ No

(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees? ☐ Yes ☒ No

(3) Does the supervisor set a good example? ☒ Yes ☐ No

(a) Does he/she show a willingness to assist subordinate personnel? ☒ Yes ☐ No

(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor? ☒ Yes ☐ No

(4) If there is more than one OSS, is the work and supervision evenly distributed? ☐ Yes ☐ No

(5) Does the OSS participate in Area staff meetings? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

2. FILING SYSTEM	EVALUATED 10/15/08	ACTION REQUIRED	CORRECTED
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) How far back are accident reports being maintained?			
(2) Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3) Is there evidence of recent office review?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) How are Management and All Commanders Memorandums filed and purged?		The Area Commander maintains a master file and purges as expiration dates come due.	
(5) Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how are they located?		Training bulletins are posted on a ring binder in the briefing room.	
(6) Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do all supervisors take advantage of the suspense system?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
c. Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is a periodic review done on a regular basis?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how often? Yearly			
(3) Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. SECURITY OF CRIMINAL RECORDS	EVALUATED 10/15/08	ACTION REQUIRED	CORRECTED
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Has the Area designated a specific person to release criminal offender record information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do any other persons release this information?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(b) Has the designated person completed the required training?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are entries maintained for the prescribed period of time?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. FISCAL PROCEDURES	EVALUATED 10/15/08	ACTION REQUIRED	CORRECTED
a. Have discrepancies on the most current audit reports been corrected?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability?	Counter receipts and DL 45's are in a secured locker only accessible to the Area School Bus Officer.	
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OP! 009

(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? The Area Commander tracks transmittals in his Commander's Desk Reference and quarterly audits are conducted by a sergeant.

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? ☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? ☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate? ☒ Yes ☐ No

(4) Do tire sale transactions comply with policy? ☒ Yes ☐ No

c. Is security of the postage machine adequate? ☒ Yes ☐ No

(1) Is the machine locked when not in use? ☒ Yes ☐ No

(2) Is the meter reading documented as required? ☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? ☒ Yes ☐ No

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED
10/15/08

ACTION REQUIRED

CORRECTED

a. Are requisitions prepared properly? ☒ Yes ☐ No

(1) Who prepares them? Officer Services Supervisor

(2) Has a practical stock level been established and maintained? ☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? ☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to? ☒ Yes ☐ No

(b) Is there a high number of emergency requisitions? ☐ Yes ☒ No

b. Are items stored properly in a storeroom? ☒ Yes ☐ No

(1) Is there convenient access for regularly used items? ☒ Yes ☐ No

(2) Have obsolete items been removed? ☒ Yes ☐ No

6. SUPPLIES

EVALUATED
10/15/08

ACTION REQUIRED

CORRECTED

a. Are all cameras assigned to the command accounted for? ☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories? ☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual? ☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? Inspection during yearly inventory / audit.

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) Is there adequate security for extender batteries and other supplies?

☒ Yes ☐ No

7. OFFICE EQUIPMENT

EVALUATED
10/15/08

ACTION REQUIRED

CORRECTED

a. Are office machines in good condition and properly maintained?

☒ Yes ☐ No

(1) Is the vendor complying with maintenance contract provisions?

☒ Yes ☐ No

(2) Is there a shortage or surplus of machines?

☐ Yes ☒ No

b. Is the Management Information System (MIS) used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? Clerical staff, special duty personnel and supervisors.

(2) How is training provided, and by whom? Clerical supervisor provides one-on-one training as needed.

(3) Is there a usage schedule for uniformed and nonuniformed personnel?

☐ Yes ☒ No

(4) Are there controls in place to ensure confidentiality?

☒ Yes ☐ No

(5) Are all personnel aware of how to request repairs after normal business hours?

☒ Yes ☐ No

(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?

☐ Yes ☒ No

(7) What system is used to ensure proper routing of MIS information? MIS is checked hourly by office staff.

c. Are personal computers used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? All personnel.

(2) How is training provided, and by whom? Area LAN coordinator provides training as needed and periodic security training is scheduled.

(a) How many employees are trained in its use? All personnel.

(3) Are there restrictions on the time its used?

☐ Yes ☒ No

(a) Is there a schedule for uniformed and nonuniformed employees?

☐ Yes ☒ No

(4) Is confidential or sensitive information being stored on a PC hard drive?

☐ Yes ☒ No

(a) If so, is the PC password protected?

☐ Yes ☐ No

(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?

☒ Yes ☐ No

(5) What is the PC being used for? All Area applications are currently accessed by Area P.C.'s.

(6) Are controls present to prevent inappropriate/personal use of the computer?

☒ Yes ☐ No

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

(7) Are backup procedures being performed on a regular basis?

☒ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area?

☒ Yes ☐ No

(8) Are PC manuals and other documentation available to all users?

☒ Yes ☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged? This function is performed by

Information Management Division by limiting the amount storage space allotted to each user..

(10) Are employees aware of the availability of assistance in resolving computer related problems?

☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs?

☒ Yes ☐ No**8. PUBLIC CONTACTS**EVALUATED
10/15/08

ACTION REQUIRED

CORRECTED

a. Does the office have extended office hours?

☐ Yes ☒ No

(1) If so, are they adequate and effective?

☐ Yes ☐ No

b. Are persons served promptly and courteously?

☒ Yes ☐ No

(1) Are backup personnel immediately available?

☒ Yes ☐ No

(2) Is telephone service both efficient and effective?

☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones?

☒ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum?

☒ Yes ☐ No**9. SCHOOL BUS DRIVER EXAMINATIONS**EVALUATED
10/15/08

ACTION REQUIRED

CORRECTED

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? Special Duty.

(1) Are tests and test keys kept in a secure place?

☒ Yes ☐ No

(2) How are interested parties advised of testing procedures? Parties are referred to Area by their respective School District's on an as needed basis.

(a) Are exams graded in the presence of the applicant, and missed questions discussed?

☒ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly?

☒ Yes ☐ No

(3) How are test disposed of? Cross shredded at Area.

(4) Is there a specific date and time set aside for testing?

☐ Yes ☒ No**10. COURT INFORMATION PROCEDURES**

EVALUATED

ACTION REQUIRED

CORRECTED
10/15/08

a. Is there a systematic method of coordinating court appearance matters?

☒ Yes ☐ No

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

(1) What controls are in place to ensure officers appear in court? Court log is maintained and quarterly audits are conducted by a supervisor.

(a) How are appearances minimized following cancellations? Officers are immediately notified with note in there mail slot.

(b) How are "short notice" cancellations minimized? Officer's are immediately notified by telephone.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases? ☒ Yes ☐ No

(3) Who is responsible for managing the process? Officer Services Supervisor maintains a suspense file for all civil supoenas.

(a) Are court officers performing duties that could be handled by clerical personnel? ☐ Yes ☒ No

11. DEPARTMENTAL MANUALSEVALUATED
10/15/08

ACTION REQUIRED

CORRECTED

a. Are the number of authorized libraries being maintained? ☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them? ☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? All manuals are now available on-line, no loans are necessary.

(2) Are publications distinctively marked so they can be readily identified? ☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? One command library is maintained.

(b) Is there a listing available of what should be in each library? ☒ Yes ☐ No

(3) Are publications kept up-to-date? ☒ Yes ☐ No

(4) Who files publication changes? Area Commander.

AREA MANAGEMENT EVALUATION SUPPLEMENT

CHP 454 (Rev. 5-06) OPI 009

SUBJECT: Chapter 5 (Self Inspection)

DATE: 10/15/2008

SECTIONS**COMMENTS**

Court Information Procedures

Suspense folder established for CHP 90's, Civil Action Subpoenas.

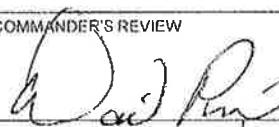
AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

AREA MARIPOSA	DIVISION CENTRAL	NUMBER 455
EVALUATED BY LT. DAVE PRICE		DATE 08/25/2008

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input type="checkbox"/> Formal Evaluation <input checked="" type="checkbox"/> Informal Evaluation	SUSPENSE DATE
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Correction Report	COMMANDER'S REVIEW 
BY	DATE 9-2-08
1. CLERICAL TASKS	EVALUATED D. PRICE, LT.
	ACTION REQUIRED
	CORRECTED

a. Is the office well organized? ☒ Yes ☐ No

(1) Are there written job descriptions? ☒ Yes ☐ No

(a) Does clerical staff have their job description at their desk? ☒ Yes ☐ No

(b) Does clerical staff understand what is expected of them? ☒ Yes ☐ No

(2) Are similar activities grouped together to promote efficiency? ☒ Yes ☐ No

(3) If tape recorders are used, can clerical employees transcribe effectively? ☒ Yes ☐ No

(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.? ☒ Yes ☐ No

(5) Can another clerical employee assume the duties of a clerical employee who is absent? ☒ Yes ☐ No

b. Is the Office Services Supervisor (OSS) effective? ☒ Yes ☐ No

(1) Does he/she properly apply management philosophies and supervisory skills? ☒ Yes ☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates? ☒ Yes ☐ No

(b) Is the clerical supervisor an effective manager? ☒ Yes ☐ No

(2) Does the OSS identify employees with supervisory potential? ☒ Yes ☐ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development? ☒ Yes ☐ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees? ☒ Yes ☐ No

(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees? ☒ Yes ☐ No

(3) Does the supervisor set a good example? ☒ Yes ☐ No

(a) Does he/she show a willingness to assist subordinate personnel? ☒ Yes ☐ No

(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor? ☒ Yes ☐ No

(4) If there is more than one OSS, is the work and supervision evenly distributed? ☐ Yes ☐ No

(5) Does the OSS participate in Area staff meetings? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

2. FILING SYSTEM		EVALUATED D. PRICE, LT.	ACTION REQUIRED	CORRECTED
a.	Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b.	Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1)	How far back are accident reports being maintained?	FOUR (4) YEARS ROTATING (SUSPENDED MONTHLY)		
(2)	Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3)	Is there evidence of recent office review?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4)	How are Management and All Commanders Memorandums filed and purged?	FILED BY OSS-I, AND PURGED A MINIMUM OF EVERY SIX (6) MONTHS, AND ONLY AFTER EXPIRATION		
(5)	Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a)	If so, how are they located?	IN A CLEARLY MARKED BINDER IN OSS-I'S OFFICE.		
(6)	Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7)	Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a)	Do all supervisors take advantage of the suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c.	Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1)	Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2)	Is a periodic review done on a regular basis?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a)	If so, how often?	AT TIME OF ANNUAL EVALUATION		
(3)	Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4)	Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. SECURITY OF CRIMINAL RECORDS		EVALUATED D. PRICE, LT.	ACTION REQUIRED	CORRECTED
a.	Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1)	Has the Area designated a specific person to release criminal offender record information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a)	Do any other persons release this information?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(b)	Has the designated person completed the required training?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c)	Are safeguards in place to verify telephone inquiries prior to disclosure?	NOT DISCLOSED		
(2)	Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a)	Are entries maintained for the prescribed period of time?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. FISCAL PROCEDURES		EVALUATED D. PRICE, LT.	ACTION REQUIRED	CORRECTED
a.	Have discrepancies on the most current audit reports been corrected?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability?	CHANGE FUND IS LOCKED A DRAWER WITH ONLY CLERICAL HAVING KEYS	
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input checked="" type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? **COMMANDER REVIEWS**

AND SIGNS EVERY FRIDAY MORNING, IF IT IS NOT ON HIS DESK HE KNOWS TO ASK FOR IT.

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? ☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? ☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate? ☒ Yes ☐ No

(4) Do tire sale transactions comply with policy? ☒ Yes ☐ No

c. Is security of the postage machine adequate? ☒ Yes ☐ No

(1) Is the machine locked when not in use? ☒ Yes ☐ No

(2) Is the meter reading documented as required? ☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? ☒ Yes ☐ No

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED
D. PRICE, LT.

ACTION REQUIRED

CORRECTED

a. Are requisitions prepared properly? ☒ Yes ☐ No

(1) Who prepares them?

(2) Has a practical stock level been established and maintained? ☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? ☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to? ☒ Yes ☐ No

(b) Is there a high number of emergency requisitions? ☐ Yes ☒ No

b. Are items stored properly in a storeroom? ☒ Yes ☐ No

(1) Is there convenient access for regularly used items? ☒ Yes ☐ No

(2) Have obsolete items been removed? ☒ Yes ☐ No

6. SUPPLIES

EVALUATED
D. PRICE, LT.

ACTION REQUIRED

CORRECTED

a. Are all cameras assigned to the command accounted for? ☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories? ☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual? ☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? **CHECKS CAMERAS ON A REGULAR BASIS AND AT TIME OF AUDITS.**

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) Is there adequate security for extender batteries and other supplies?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
7. OFFICE EQUIPMENT	EVALUATED D. PRICE, LT.	ACTION REQUIRED	CORRECTED	
a. Are office machines in good condition and properly maintained?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Is the vendor complying with maintenance contract provisions?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Is there a shortage or surplus of machines?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b. Is the Management Information System (MIS) used properly?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who is authorized to use the equipment? ALL TRAINED EMPLOYEES				
(2) How is training provided, and by whom? DISPATCH EITHER COMES TO AREA OFFICE OR AREA EMPLOYEES GO TO THE MERCED DISPATCH CENTER TO BE TRAINED WHEN TRAINING IS REQUIRED.				
(3) Is there a usage schedule for uniformed and nonuniformed personnel?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Are there controls in place to ensure confidentiality?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5) Are all personnel aware of how to request repairs after normal business hours?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?			<input checked="" type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(7) What system is used to ensure proper routing of MIS information? CLERICAL EMAILS MESSAGES TO THOSE IN NEED				
c. Are personal computers used properly?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who is authorized to use the equipment? ALL TRAINED EMPLOYEES				
(2) How is training provided, and by whom? BY IN HOUSE EXPERTS AND TRAINING IS PROVIDED BY CENTRAL DIVISION WHEN NEEDED.				
(a) How many employees are trained in its use? ALL EMPLOYEES				
(3) Are there restrictions on the time its used?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(a) Is there a schedule for uniformed and nonuniformed employees?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Is confidential or sensitive information being stored on a PC hard drive?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) If so, is the PC password protected?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5) What is the PC being used for? DEPARTMENTAL REQUIRED WORK ONLY				
(6) Are controls present to prevent inappropriate/personal use of the computer?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(7) Are backup procedures being performed on a regular basis? ☒ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area? ☒ Yes ☐ No

(8) Are PC manuals and other documentation available to all users? ☒ Yes ☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged? EACH EMPLOYEE PURGES THEIR OWN WORK WHEN NECESSARY.

(10) Are employees aware of the availability of assistance in resolving computer related problems? ☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs? ☒ Yes ☐ No

8. PUBLIC CONTACTS

EVALUATED

D. PRICE, LT.

ACTION REQUIRED

CORRECTED

a. Does the office have extended office hours? ☐ Yes ☒ No

(1) If so, are they adequate and effective? ☐ Yes ☐ No

N/A

b. Are persons served promptly and courteously? ☒ Yes ☐ No

(1) Are backup personnel immediately available? ☒ Yes ☐ No

(2) Is telephone service both efficient and effective? ☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones? ☒ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum? ☒ Yes ☐ No

9. SCHOOL BUS DRIVER EXAMINATIONS

EVALUATED

D. PRICE, LT.

ACTION REQUIRED

CORRECTED

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? SPECIAL DUTY OFFICER

(1) Are tests and test keys kept in a secure place? ☒ Yes ☐ No

(2) How are interested parties advised of testing procedures? BY PERSONAL INTERVIEW BY SCHOOL BUS OFFICER AND BY THE SCHOOL DISTRICT.

(a) Are exams graded in the presence of the applicant, and missed questions discussed? ☒ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly? ☒ Yes ☐ No

(3) How are test disposed of? CROSS SHREDDED

(4) Is there a specific date and time set aside for testing? ☒ Yes ☐ No

10. COURT INFORMATION PROCEDURES

EVALUATED

D. PRICE, LT.

ACTION REQUIRED

CORRECTED

a. Is there a systematic method of coordinating court appearance matters? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) What controls are in place to ensure officers appear in court? EACH OFFICER IS SERVED AND SIGNS A COPY OF THE SUBPOENA AS EXCEPTED, WITH COURT CLERK FILING. ALSO, A "C" IS PLACED ON THE MASTER SCHEDULE FOR EACH DAY A OFFICER HAS COURT.

(a) How are appearances minimized following cancellations? IF ON DUTY, OFFICERS ARE NOTIFIED IMMEDIATELY BY DISPATCH. IF OFF DUTY THE COURT CLERK OR SERGEANT CALLS THE OFFICER'S HOME.

(b) How are "short notice" cancellations minimized? COURT/D.A.'S OFFICE NOTIFIES AREA OFFICE AS SOON AS THEY ARE AWARE OF ANY CHANGES.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases? ☒ Yes ☐ No

(3) Who is responsible for managing the process? COURT CLERK / SERGEANT

(a) Are court officers performing duties that could be handled by clerical personnel? ☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED
D. PRICE, LT.

ACTION REQUIRED

CORRECTED

a. Are the number of authorized libraries being maintained? ☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them? ☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? OUTCARDS ARE USED, BUT MANUALS ARE NEVER ALLOWED TO LEAVE THE OFFICE.

(2) Are publications distinctively marked so they can be readily identified? ☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? SUFFICIENT

(b) Is there a listing available of what should be in each library? ☒ Yes ☐ No

(3) Are publications kept up-to-date? ☒ Yes ☐ No

(4) Who files publication changes? OSS-I FILES THE COMMAND SET AND THE LT.'S MANUALS. THE OA FILES MANUAL UPDATES IN THE SGT.'S OFFICE.


AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

AREA Merced	DIVISION Central	NUMBER
EVALUATED BY Officer Luis Lara		DATE 09/29/2008

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input type="checkbox"/> Formal Evaluation <input checked="" type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		CORRECTION REPORT <input type="checkbox"/> Correction Report BY _____	COMMANDER'S REVIEW  S. BADILLA DATE 9/30/08

1. CLERICAL TASKS

	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Is the office well organized?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes No
(1) Are there written job descriptions?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes No
(a) Does clerical staff have their job description at their desk?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes No
(b) Does clerical staff understand what is expected of them?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes No
(2) Are similar activities grouped together to promote efficiency?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes No
(3) If tape recorders are used, can clerical employees transcribe effectively?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes No
(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes No
(5) Can another clerical employee assume the duties of a clerical employee who is absent?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes No
b. Is the Office Services Supervisor (OSS) effective?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes No
(1) Does he/she properly apply management philosophies and supervisory skills?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes No
(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes No
(b) Is the clerical supervisor an effective manager?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes No
(2) Does the OSS identify employees with supervisory potential?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes No
(a) Does he/she assist employees in the preparation of written plans for progressive career development?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes No
(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes No
(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes No
(3) Does the supervisor set a good example?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes No
(a) Does he/she show a willingness to assist subordinate personnel?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes No
(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes No
(4) If there is more than one OSS, is the work and supervision evenly distributed?	<input type="checkbox"/>	<input type="checkbox"/>	Yes No
(5) Does the OSS participate in Area staff meetings?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

2. FILING SYSTEM	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) How far back are accident reports being maintained? Per Retention Schedule			
(2) Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3) Is there evidence of recent office review?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) How are Management and All Commanders Memorandums filed and purged? Filed in a binder located in master library and purged by the date.			
(5) Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how are they located? In the master library. A copy of field specific training and information bulletins are located in briefing book.			
(6) Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do all supervisors take advantage of the suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is a periodic review done on a regular basis?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(a) If so, how often?			
(3) Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. SECURITY OF CRIMINAL RECORDS	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Has the Area designated a specific person to release criminal offender record information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do any other persons release this information?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(b) Has the designated person completed the required training?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(a) Are entries maintained for the prescribed period of time?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. FISCAL PROCEDURES	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Have discrepancies on the most current audit reports been corrected?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability? CHP 251s (Counter Receipts) are reconciled by the Office Services Supervisor. Moneys are kept in a locked cash box which is then locked in a file cabinet in the OSS's Office.		
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? If clerical supervisor is not available, the transmittal is completed by the office assistant.

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? ☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? ☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate? ☒ Yes ☐ No

(4) Do tire sale transactions comply with policy? ☒ Yes ☐ No

c. Is security of the postage machine adequate? ☒ Yes ☐ No

(1) Is the machine locked when not in use? ☒ Yes ☐ No

(2) Is the meter reading documented as required? ☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? ☒ Yes ☐ No

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are requisitions prepared properly? ☒ Yes ☐ No

(1) Who prepares them? Supervisory staff for which the request is being made.

(2) Has a practical stock level been established and maintained? ☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? ☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to? ☒ Yes ☐ No

(b) Is there a high number of emergency requisitions? ☐ Yes ☒ No

b. Are items stored properly in a storeroom? ☒ Yes ☐ No

(1) Is there convenient access for regularly used items? ☒ Yes ☐ No

(2) Have obsolete items been removed? ☒ Yes ☐ No

6. SUPPLIES

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are all cameras assigned to the command accounted for? ☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories? ☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual? ☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? Quarterly maintenance schedule.

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(1) Is there adequate security for extender batteries and other supplies?

☒ Yes ☐ No

7. OFFICE EQUIPMENT

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are office machines in good condition and properly maintained?

☒ Yes ☐ No

(1) Is the vendor complying with maintenance contract provisions?

☒ Yes ☐ No

(2) Is there a shortage or surplus of machines?

☐ Yes ☒ No

b. Is the Management Information System (MIS) used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? Clerical Supervisor and Communications Supervisors.

(2) How is training provided, and by whom? Through the CAD, MIS, and DOJ Coordinator

(3) Is there a usage schedule for uniformed and nonuniformed personnel?

☐ Yes ☒ No

(4) Are there controls in place to ensure confidentiality?

☒ Yes ☐ No

(5) Are all personnel aware of how to request repairs after normal business hours?

☒ Yes ☐ No

(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?

☐ Yes ☒ No

(7) What system is used to ensure proper routing of MIS information?

c. Are personal computers used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? All trained uniformed and non-uniformed personnel.

(2) How is training provided, and by whom? Training is provided through Area Training by through Departmental instructors

(a) How many employees are trained in its use? All Area personnel.

(3) Are there restrictions on the time its used?

☐ Yes ☒ No

(a) Is there a schedule for uniformed and nonuniformed employees?

☐ Yes ☒ No

(4) Is confidential or sensitive information being stored on a PC hard drive?

☒ Yes ☐ No

(a) If so, is the PC password protected?

☒ Yes ☐ No

(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?

☒ Yes ☐ No

(5) What is the PC being used for? The PC are being used for Departmental needs.

(6) Are controls present to prevent inappropriate/personal use of the computer?

☒ Yes ☐ No

(7) Are backup procedures being performed on a regular basis? ☒ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area? ☒ Yes ☐ No

(8) Are PC manuals and other documentation available to all users? ☒ Yes ☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged? Semi-annual reminders to personnel to purge their personal files and documents.

(10) Are employees aware of the availability of assistance in resolving computer related problems? ☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs? ☒ Yes ☐ No

8. PUBLIC CONTACTS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Does the office have extended office hours? ☐ Yes ☒ No

(1) If so, are they adequate and effective? ☐ Yes ☐ No

b. Are persons served promptly and courteously? ☒ Yes ☐ No

(1) Are backup personnel immediately available? ☒ Yes ☐ No

(2) Is telephone service both efficient and effective? ☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones? ☒ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum? ☒ Yes ☐ No

9. SCHOOL BUS DRIVER EXAMINATIONS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? Special Duty Officer is assigned.

(1) Are tests and test keys kept in a secure place? ☒ Yes ☐ No

(2) How are interested parties advised of testing procedures? Through employer and local community college events.

(a) Are exams graded in the presence of the applicant, and missed questions discussed? ☒ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly? ☒ Yes ☐ No

(3) How are test disposed of? After notes are made on the CHP 295 application, test are then shredded.

(4) Is there a specific date and time set aside for testing? ☒ Yes ☐ No

10. COURT INFORMATION PROCEDURES

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Is there a systematic method of coordinating court appearance matters? ☒ Yes ☐ No

(1) What controls are in place to ensure officers appear in court? Court advises area if the Officer fails to appear.

(a) How are appearances minimized following cancellations? Subpoena clerk notifies affected employee of the cancellation as soon as possible.

(b) How are "short notice" cancellations minimized? Immediate notification to the affected officer.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases?

☒ Yes ☐ No

(3) Who is responsible for managing the process? Office Assistant Karen Stephens

(a) Are court officers performing duties that could be handled by clerical personnel?

☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are the number of authorized libraries being maintained?

☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them?

☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? Employees do not take manuals from the office.

(2) Are publications distinctively marked so they can be readily identified?

☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? Sufficient

(b) Is there a listing available of what should be in each library?

☒ Yes ☐ No

(3) Are publications kept up-to-date?

☒ Yes ☐ No

(4) Who files publication changes? OSSI assigns this task to clerical personnel.

M e m o r a n d u m

Date: September 30, 2008

To: Merced Area

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Merced Area

File No.: 460.10533.15690

Subject: CHAPTER 5 – OFFICE MANAGEMENT

On September 30, 2008, an Area Management Evaluation was completed at the Merced Area which focused on the Area's Office Management program. After the informal evaluation was completed, the area is in compliance with all subjects.

- 1) **CLERICAL TASKS:** *No Action Required*
- 2) **FILING SYSTEM:** *No Action Required*
- 3) **SECURITY OF CRIMINAL RECORDS:** *No Action Required*
- 4) **FISCAL PROCEDURES:** *No Action Required*
- 5) **SUPPLY REQUISITIONS (CHP 41):** *No Action Required*
- 6) **SUPPLIES:** *No Action Required*
- 7) **OFFICE EQUIPMENT:** *No Action Required*
- 8) **PUBLIC CONTACTS:** *No Action Required*
- 9) **SCHOOL BUS DRIVER EXAMINATIONS:** *No Action Required*
- 10) **COURT INFORMATION PROCEDURES:** *No Action Required*

Safety, Service, and Security

Merced Area
Page 2

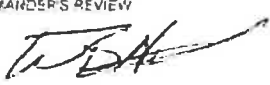
11) DEPARTMENTAL MANUALS: *No Action Required*



L. LARA, Officer

AREA Merced	DIVISION Central	NUMBER
EVALUATED BY Henrietta Koelmans		DATE 10/23/2008

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		COMMANDER'S REVIEW 	DATE 10/23/08
BY _____			

1. CLERICAL TASKS

EVALUATED 10/23/08 & 12/18/08	ACTION REQUIRED No	CORRECTED
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a. Is the office well organized? ☒ Yes ☐ No

(1) Are there written job descriptions? ☒ Yes ☐ No

(a) Does clerical staff have their job description at their desk? ☒ Yes ☐ No

(b) Does clerical staff understand what is expected of them? ☒ Yes ☐ No

(2) Are similar activities grouped together to promote efficiency? ☒ Yes ☐ No

(3) If tape recorders are used, can clerical employees transcribe effectively? ☒ Yes ☐ No

(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.? ☒ Yes ☐ No

(5) Can another clerical employee assume the duties of a clerical employee who is absent? ☒ Yes ☐ No

b. Is the Office Services Supervisor (OSS) effective? ☒ Yes ☐ No

(1) Does he/she properly apply management philosophies and supervisory skills? ☒ Yes ☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates? ☒ Yes ☐ No

(b) Is the clerical supervisor an effective manager? ☒ Yes ☐ No

(2) Does the OSS identify employees with supervisory potential? ☒ Yes ☐ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development? ☒ Yes ☐ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees? ☒ Yes ☐ No

(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees? ☒ Yes ☐ No

(3) Does the supervisor set a good example? ☒ Yes ☐ No

(a) Does he/she show a willingness to assist subordinate personnel? ☒ Yes ☐ No

(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor? ☒ Yes ☐ No

(4) If there is more than one OSS, is the work and supervision evenly distributed? N/A ☐ Yes ☐ No

(5) Does the OSS participate in Area staff meetings? ☒ Yes ☐ No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

2. FILING SYSTEM

EVALUATED 10/23/08 & 12/18/08	ACTION REQUIRED No	CORRECTED
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- a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide? ☒ Yes ☐ No
- b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy? ☒ Yes ☐ No
- (1) How far back are accident reports being maintained? 48 Months
- (2) Is there a filing backlog? ☐ Yes ☒ No
- (3) Is there evidence of recent office review? ☒ Yes ☐ No
- (4) How are Management and All Commanders Memorandums filed and purged? Management Memorandums and All Commanders Memorandums are filed in clearly labeled binders by Management Memorandum number or date.
- (5) Are Training and Information Bulletins filed? ☒ Yes ☐ No
- (a) If so, how are they located? Information Bulletins are filed in the Command Library in a clearly labeled binder by date.
- (6) Do all clerical employees understand the filing system? ☒ Yes ☐ No
- (7) Does the Area have an effective suspense system? ☒ Yes ☐ No
- (a) Do all supervisors take advantage of the suspense system? ☒ Yes ☐ No
- c. Are personnel files properly secured and access limited? ☒ Yes ☐ No
- (1) Are the requirements of the Information Practices Act being followed? ☒ Yes ☐ No
- (2) Is a periodic review done on a regular basis? ☒ Yes ☐ No
- (a) If so, how often? Minimum of once annually at time of CHP 118.
- (3) Is annual employee review and updating conducted as required? ☒ Yes ☐ No
- (4) Are only required or permitted items contained in personnel folders? ☒ Yes ☐ No

3. SECURITY OF CRIMINAL RECORDS

EVALUATED 10/23/2008	ACTION REQUIRED No	CORRECTED
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- a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records? ☒ Yes ☐ No
- (1) Has the Area designated a specific person to release criminal offender record information? ☒ Yes ☐ No
- (a) Do any other persons release this information? ☐ Yes ☒ No
- (b) Has the designated person completed the required training? ☒ Yes ☐ No
- (c) Are safeguards in place to verify telephone inquiries prior to disclosure? Not Disclosed ☐ Yes ☐ No
- (2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log? ☒ Yes ☐ No
- (a) Are entries maintained for the prescribed period of time? ☒ Yes ☐ No

4. FISCAL PROCEDURES

EVALUATED 10/23/08 & 12/18/08	ACTION REQUIRED No	CORRECTED
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- a. Have discrepancies on the most current audit reports been corrected? ☒ Yes ☐ No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability? CHP 251s (Counter Receipts), cash and checks are reconciled at close of business and locked in a metal cash box and then locked in a file cabinet in the Office Services Supervisor's Office.		
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X? N/A	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
b. What controls does the commander have in place to ensure timely transmittals of monies? OSSI Rafaela Gonzales has a form documenting weekly completion of the CHP 230.		
(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are "no collection" transmittals sent when appropriate?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Do tire sale transactions comply with policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
c. Is security of the postage machine adequate?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Is the machine locked when not in use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Is the meter reading documented as required? N/A Automated	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
6. SUPPLY REQUISITIONS (CHP 41)	EVALUATED 10/23/08 & 12/18/08	ACTION REQUIRED No
a. Are requisitions prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who prepares them?		
(2) Has a practical stock level been established and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the quarterly requisition period for this command adhered to?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Is there a high number of emergency requisitions?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b. Are items stored properly in a storeroom?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Is there convenient access for regularly used items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Have obsolete items been removed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
6. SUPPLIES	EVALUATED 12/18/2008	ACTION REQUIRED No
a. Are all cameras assigned to the command accounted for?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Are camera cases clean and do they contain the required accessories?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Is camera maintenance assigned to a particular individual?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) What is his/her preventative maintenance schedule? Cameras are checked on a regular basis and maintenance is completed as needed.		
b. Are all extenders assigned to the command accounted for?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(1) Is there adequate security for extender batteries and other supplies?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
7. OFFICE EQUIPMENT	EVALUATED 10/23/08 & 12/18/08	ACTION REQUIRED No	CORRECTED
a. Are office machines in good condition and properly maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) Is the vendor complying with maintenance contract provisions?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(2) Is there a shortage or surplus of machines?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
b. Is the Management Information System (MIS) used properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) Who is authorized to use the equipment?	All trained employees who have a CHP 101, Appropriate Use of Automated Information & Systems Statement in their field personnel folder.		
(2) How is training provided, and by whom?	Employees are trained by designated trainers as required or independently utilizing the appropriate intranet web site.		
(3) Is there a usage schedule for uniformed and nonuniformed personnel?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(4) Are there controls in place to ensure confidentiality?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(5) Are all personnel aware of how to request repairs after normal business hours?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(7) What system is used to ensure proper routing of MIS information?	All MIS information is sent by E-mail to all employees in Merced.		
c. Are personal computers used properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) Who is authorized to use the equipment?	All properly trained departmental employees.		
(2) How is training provided, and by whom?	Training is provided as needed by the Area's L.A.N. Coordinator and other designated trainers.		
(a) How many employees are trained in its use?	All employees assigned to the Merced Area.		
(3) Are there restrictions on the time its used?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(a) Is there a schedule for uniformed and nonuniformed employees?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(4) Is confidential or sensitive information being stored on a PC hard drive?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(a) If so, is the PC password protected?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(5) What is the PC being used for?	Departmental business only.		
(6) Are controls present to prevent inappropriate/personal use of the computer?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	

Destroy Previous Editions

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(7) Are backup procedures being performed on a regular basis?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Where applicable, are backup disks stored in a secure area?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(8) Are PC manuals and other documentation available to all users?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(9) What procedures are in place to ensure out-of-date documents and files are purged? Each employee purges outdated material as necessary.	

(10) Are employees aware of the availability of assistance in resolving computer related problems?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(11) Is anti-virus software regularly utilized on all state-owned PCs?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

8. PUBLIC CONTACTS	EVALUATED 10/23/2008	ACTION REQUIRED No	CORRECTED
a. Does the office have extended office hours?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(1) If so, are they adequate and effective? N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No		
b. Are persons served promptly and courteously?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(1) Are backup personnel immediately available?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(2) Is telephone service both efficient and effective?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(3) Are limited duty personnel used for receptionist duties and answering telephones?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(4) Are officer substitutions for nonuniformed positions kept at a minimum?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		

9. SCHOOL BUS DRIVER EXAMINATIONS	EVALUATED 12/18/2008	ACTION REQUIRED No	CORRECTED
a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? Special Duty function.			
(1) Are tests and test keys kept in a secure place?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(2) How are interested parties advised of testing procedures? By the local school district bus coordinators.			
(a) Are exams graded in the presence of the applicant, and missed questions discussed?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(b) Does the officer or coordinator take possession of the test and dispose of accordingly?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(3) How are test disposed of? They are shredded.			
(4) Is there a specific date and time set aside for testing?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		

10. COURT INFORMATION PROCEDURES	EVALUATED 10/23/2008	ACTION REQUIRED No	CORRECTED
a. Is there a systematic method of coordinating court appearance matters?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(1) What controls are in place to ensure officers appear in court? A copy of the subpoena acknowledging service is returned to the Subpoena Clerk for file. A copy of subpoena logs by date is posted in the Report Room as a reminder to both officers and supervisors indicating who has court. In addition, the court notifies the Area when an officer fails to appear.

(a) How are appearances minimized following cancellations? The subpoena clerk completes a CHP 219, Trial Information, when the officer is scheduled to work prior to the original appearance date. If the officer is not scheduled to work, the subpoena clerk calls him at home.

(b) How are "short notice" cancellations minimized? The District Attorney's Office or Court calls the subpoena clerk who immediately notifies the officer whose case has been cancelled.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases?

☒ Yes ☐ No

(3) Who is responsible for managing the process? Office Assistant Karen Stephens

(a) Are court officers performing duties that could be handled by clerical personnel?

☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED

10/23/08 & 12/18/08

ACTION REQUIRED

No

CORRECTED

a. Are the number of authorized libraries being maintained?

☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them?

☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? As manuals are also available on the departmental intranet, employees do not take manuals from the office.

(2) Are publications distinctively marked so they can be readily identified?

☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? Sufficient

(b) Is there a listing available of what should be in each library?

☐ Yes ☒ No


(3) Are publications kept up-to-date?

☒ Yes ☐ No

(4) Who files publication changes? Office Assistant Raqueza DeGuzman

AREA MODESTO	DIVISION CENTRAL	NUMBER 465
EVALUATED BY CARRIE SMITH		DATE 12/09/2008

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation FOLLOW-UP REQUIRED <input type="checkbox"/> Correction Report <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No BY _____	SUSPENSE DATE 12/31/08 COMMANDER'S REVIEW 	DATE 01.15.09
CLERICAL TASKS	EVALUATED X	ACTION REQUIRED No

a. Is the office well organized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Are there written job descriptions?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Does clerical staff have their job description at their desk?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Does clerical staff understand what is expected of them?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are similar activities grouped together to promote efficiency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) If tape recorders are used, can clerical employees transcribe effectively?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5) Can another clerical employee assume the duties of a clerical employee who is absent?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
b. Is the Office Services Supervisor (OSS) effective?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Does he/she properly apply management philosophies and supervisory skills?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Is the clerical supervisor an effective manager?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Does the OSS identify employees with supervisory potential?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Does he/she assist employees in the preparation of written plans for progressive career development?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Does the supervisor set a good example?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Does he/she show a willingness to assist subordinate personnel?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) If there is more than one OSS, is the work and supervision evenly distributed?	N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No
(5) Does the OSS participate in Area staff meetings?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

STATE OF CALIFORNIA
 DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
 HP 453E (Rev. 5-06) OPI 009

	EVALUATED	ACTION REQUIRED	CORRECTED
FILING SYSTEM	X	No	

a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide? ☒ Yes ☐ No

b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy? ☒ Yes ☐ No

(1) How far back are accident reports being maintained? FOUR (4) YEARS ROTATING / PURGED BY SUSPENSE SYSTEM

(2) Is there a filing backlog? ☐ Yes ☒ No

(3) Is there evidence of recent office review? ☒ Yes ☐ No

(4) How are Management and All Commanders Memorandums filed and purged? FILED IN BINDERS AND PURGED BY

EXPIRATION DATE. COMM-NETS ARE FILED ACCORDING TO SUBJECT IN ADMINISTRATION FILES

(5) Are Training and Information Bulletins filed? ☒ Yes ☐ No

(a) If so, how are they located? IN MARKED BINDERS - MOST ARE HELD ON THE INTRANET

(6) Do all clerical employees understand the filing system? ☒ Yes ☐ No

(7) Does the Area have an effective suspense system? ☒ Yes ☐ No

(a) Do all supervisors take advantage of the suspense system? ☒ Yes ☐ No

c. Are personnel files properly secured and access limited? ☒ Yes ☐ No

(1) Are the requirements of the Information Practices Act being followed? ☒ Yes ☐ No

(2) Is a periodic review done on a regular basis? ☒ Yes ☐ No

(a) If so, how often? ON AN ON-GOING BASIS

(3) Is annual employee review and updating conducted as required? ☒ Yes ☐ No

(4) Are only required or permitted items contained in personnel folders? ☒ Yes ☐ No

CHP 137C IS USED

	EVALUATED	ACTION REQUIRED	CORRECTED
SECURITY OF CRIMINAL RECORDS	X	No	

a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records? ☒ Yes ☐ No

(1) Has the Area designated a specific person to release criminal offender record information? ☒ Yes ☐ No

(a) Do any other persons release this information? ☐ Yes ☒ No

(b) Has the designated person completed the required training? ☒ Yes ☐ No

(c) Are safeguards in place to verify telephone inquiries prior to disclosure? ☐ Yes ☐ No

NOT DONE BY PHONE

(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log? ☒ Yes ☐ No

UTILIZES COMPUTER LOG - SAME AS CHP 263B

(a) Are entries maintained for the prescribed period of time? ☒ Yes ☐ No

	EVALUATED	ACTION REQUIRED	CORRECTED
FISCAL PROCEDURES	X	No	

a. Have discrepancies on the most current audit reports been corrected? ☒ Yes ☐ No

REA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability? ONLY ONE KEY AND HELD BY FRONT COUNTER CLERICAL. LOCKED AT NIGHT WITH DAILY ACTIVITY IN SUPERVISORS OFFICE. CASH DRAWER LOCKED DURING THE DAY WITH COUNTER RECEIPTS IN A SEPARATE LOCKED CABINET		
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? **COMMANDER HAS DELEGATED THIS ACTION TO THE OSS-1 WHO KEEPS A WEEKLY SUSPENSE.**

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? ☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? ☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate? ☒ Yes ☐ No

(4) Do tire sale transactions comply with policy? ☒ Yes ☐ No

c. Is security of the postage machine adequate? ☒ Yes ☐ No

(1) Is the machine locked when not in use? ☒ Yes ☐ No

(2) Is the meter reading documented as required? **N/A** ☐ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? **N/A** ☐ Yes ☐ No

SUPPLY REQUISITIONS (CHP 41)	EVALUATED	ACTION REQUIRED	CORRECTED
	X	NO	

a. Are requisitions prepared properly? ☒ Yes ☐ No

(1) Who prepares them? **CLERICAL STAFF AND SPECIAL DUTY WITH CLERICAL REVIEW**

(2) Has a practical stock level been established and maintained? ☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? ☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to? ☒ Yes ☐ No

(b) Is there a high number of emergency requisitions? ☒ Yes ☐ No

b. Are items stored properly in a storeroom? ☒ Yes ☐ No

(1) Is there convenient access for regularly used items? ☒ Yes ☐ No

(2) Have obsolete items been removed? ☒ Yes ☐ No

SUPPLIES	EVALUATED	ACTION REQUIRED	CORRECTED
	X	NO	

a. Are all cameras assigned to the command accounted for? ☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories? ☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual? ☐ Yes ☒ No

(a) What is his/her preventative maintenance schedule? **WHEN NEEDED - DIGITAL CAMERAS ARE BEING USED**

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

(1) Is there adequate security for extender batteries and other supplies?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
OFFICE EQUIPMENT	EVALUATED X	ACTION REQUIRED NO	CORRECTED	
a. Are office machines in good condition and properly maintained?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Is the vendor complying with maintenance contract provisions?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Is there a shortage or surplus of machines?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
b. Is the Management Information System (MIS) used properly?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who is authorized to use the equipment? ALL PROPERLY TRAINED EMPLOYEES				
(2) How is training provided, and by whom? EITHER THRU THE INTRANET OR DISPATCH PERSONNEL				
(3) Is there a usage schedule for uniformed and nonuniformed personnel?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Are there controls in place to ensure confidentiality?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5) Are all personnel aware of how to request repairs after normal business hours?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(7) What system is used to ensure proper routing of MIS information? OSS-I REVIEWS ALL INCOMING & ROUTES				
c. Are personal computers used properly?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who is authorized to use the equipment? ALL PROPERLY TRAINED EMPLOYEES				
(2) How is training provided, and by whom? THRU THE DEPARTMENT INTRANET, DIVISION TRAINING AND AREA PERSONNEL WITH THE EXPERTISE.				
(a) How many employees are trained in its use? ALL EMPLOYEES				
(3) Are there restrictions on the time its used?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(a) Is there a schedule for uniformed and nonuniformed employees?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Is confidential or sensitive information being stored on a PC hard drive?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) If so, is the PC password protected?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5) What is the PC being used for? DEPARTMENTAL RELATED BUSINESS ONLY				
(6) Are controls present to prevent inappropriate/personal use of the computer?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

REA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

HP 453E (Rev. 5-06) OPI 009

- (7) Are backup procedures being performed on a regular basis? ☒ Yes ☐ No
- (a) Where applicable, are backup disks stored in a secure area? ☒ Yes ☐ No
- (8) Are PC manuals and other documentation available to all users? ☒ Yes ☐ No
- (9) What procedures are in place to ensure out-of-date documents and files are purged? EACH EMPLOYEE IS RESPONSIBLE FOR THEIR OWN CLEAN UP / PURGING.

- (10) Are employees aware of the availability of assistance in resolving computer related problems? ☒ Yes ☐ No
- (11) Is anti-virus software regularly utilized on all state-owned PCs? ☒ Yes ☐ No

	EVALUATED	ACTION REQUIRED	CORRECTED
PUBLIC CONTACTS	X	NO	
a. Does the office have extended office hours?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(1) If so, are they adequate and effective?		N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No
b. Are persons served promptly and courteously?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are backup personnel immediately available?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is telephone service both efficient and effective?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) Are limited duty personnel used for receptionist duties and answering telephones?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are officer substitutions for nonuniformed positions kept at a minimum?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

	EVALUATED	ACTION REQUIRED	CORRECTED
SCHOOL BUS DRIVER EXAMINATIONS	X	NO	
a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? FULL TIME SPECIAL DUTY OFFICER CINDY WHITE.			
(1) Are tests and test keys kept in a secure place?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) How are interested parties advised of testing procedures? INFORMATIONAL PACKETS ARE SENT TO ALL TERMINALS ANNUALLY.			

- (a) Are exams graded in the presence of the applicant, and missed questions discussed? ☒ Yes ☐ No
- (b) Does the officer or coordinator take possession of the test and dispose of accordingly? ☒ Yes ☐ No
- (3) How are test disposed of? CROSS SHREDDED

- (4) Is there a specific date and time set aside for testing? ☒ Yes ☐ No

	EVALUATED	ACTION REQUIRED	CORRECTED
COURT INFORMATION PROCEDURES	X	NO	
a. Is there a systematic method of coordinating court appearance matters?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) What controls are in place to ensure officers appear in court? COURT LOG IS POSTED DAILY, GIVEN TO SERGEANTS AND ONE FOR BRIEFING.

(a) How are appearances minimized following cancellations? CANCELED IMMEDIATELY, LOG REPRINTED. OFFICER NOTIFIED VIA DISPATCH OR OFFICER CALLED AT HOME.

(b) How are "short notice" cancellations minimized? DISTRICT ATTORNEY'S OFFICE AND COURTS CALL DAILY FOR FOLLOW-UP.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases? ☒ Yes ☐ No

(3) Who is responsible for managing the process? OFFICE ASSISTANT DONNA WILLINGHAM, COURT CLERK

(a) Are court officers performing duties that could be handled by clerical personnel? ☐ Yes ☒ No

I. DEPARTMENTAL MANUALS	EVALUATED	ACTION REQUIRED	CORRECTED
	X	NO	

a. Are the number of authorized libraries being maintained? ☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them? ☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? LOG IN OR OUT SHEET USED

(2) Are publications distinctively marked so they can be readily identified? ☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? SUFFICIENT - ALSO CURRENT MANUALS ON INTRANET

(b) Is there a listing available of what should be in each library? ☒ Yes ☐ No

(3) Are publications kept up-to-date? ☒ Yes ☐ No

(4) Who files publication changes? CLERICAL STAFF

BRIEF, THE MODESTO AREA OFFICE IS WELL ORGANIZED. ALL OF THE CLERICAL STAFF IS AWARE OF WHAT IS REQUIRED OF THEIR DUTIES. ALL OF THE STAFF HAS BEEN CROSS TRAINED WITH THE ABILITY TO HELP WHEN ABSENCES OCCUR. THE OSS-1 IS VERY EFFICIENT AND ORGANIZED. SHE IS AWARE OF EVERYTHING GOING ON IN THE OFFICE, KEEPING ALL REQUIRED TASKS ON SCHEDULE. THE ATMOSPHERE IS ONE OF HARMONY, WHETHER IT IS UNIFORMED, NON-UNIFORMED OR THE PUBLIC. I WOULD RECOMMEND ANY NEW SUPERVISOR TO THIS DEPARTMENT HAVE THE OPPORTUNITY TO WATCH AND LEARN FROM THIS OFFICE.

M e m o r a n d u m

Date: November 28, 2008

To: Porterville Area

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Coalinga Area

File No.: 495.13682

Subject: HPG 22.1, AREA RESOURCES MANAGEMENT GUIDE, INSPECTIONS

On September 25, 2008, a team comprised of Sergeant Larkin Vander Mel, Office Services Supervisors Paula McSheehy and I completed three Area Management Evaluations on the Porterville Area per HPG 22.1, Area Resources Management Guide. The three Area Management Evaluations were Office Management, Occupational Safety and Special Functions. Utilizing the procedures and checklists provided in HPG 22.1 as well as through interviews conducted of the affected personnel, the following is a summation of the results of each evaluation.

Lieutenant D. Knoff conducted the Occupational Safety (chapter 12) evaluation. During his evaluation, he noted that on September 5, 2008, Sergeant L. McGuire, of the Porterville Area, conducted an informal Occupational Safety (chapter 12) evaluation. The results of the evaluation were forwarded to the Central Division Occupational Safety Coordinator. During the formal evaluation, Lieutenant Knoff discussed the informal evaluation with Lieutenant J. Swearingen. During the discussion, Lieutenant Swearingen identified two items from the informal evaluation that had required action. He explained one of the identified items had been competed and the other was awaiting budget approval for the purchase of fire extinguisher and exit signs. As these items have been requested, no further action is required.

During the Office Management (chapter 5) evaluation and the Special Functions (chapter 15) evaluation, neither Office Services Supervisor McSheehy nor Sergeant Vander Mel noted any significant discrepancies.

Based upon the procedures and checklist provided and the interviews of the affected personnel, the Porterville Area's occupational safety program, special functions and office management are functioning within guidelines set forth in HPG 22.1, Area Resources Guide.



D. W. KNOFF, Lieutenant
Commander

cc: Assistant Chief R. Clements

Safety, Service, and Security

AREA PORTERVILLE	DIVISION CENTRAL	NUMBER 480
EVALUATED BY P. McSHEEHY, OSSI		DATE 09/25/2008

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Correction Report BY _____	
1. CLERICAL TASKS		EVALUATED 09/25/2008	ACTION REQUIRED None CORRECTED

a. Is the office well organized?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are there written job descriptions?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Does clerical staff have their job description at their desk?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Does clerical staff understand what is expected of them?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Are similar activities grouped together to promote efficiency?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) If tape recorders are used, can clerical employees transcribe effectively? <i>N/A</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(5) Can another clerical employee assume the duties of a clerical employee who is absent?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Is the Office Services Supervisor (OSS) effective?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Does he/she properly apply management philosophies and supervisory skills?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Is the clerical supervisor an effective manager?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does the OSS identify employees with supervisory potential?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Does he/she assist employees in the preparation of written plans for progressive career development?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) Does the supervisor set a good example?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Does he/she show a willingness to assist subordinate personnel?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) If there is more than one OSS, is the work and supervision evenly distributed? <i>N/A</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
(5) Does the OSS participate in Area staff meetings?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

2. FILING SYSTEM	EVALUATED 09/25/2008	ACTION REQUIRED None	CORRECTED
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) How far back are accident reports being maintained? 4 YEARS			
(2) Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3) Is there evidence of recent office review?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) How are Management and All Commanders Memorandums filed and purged? MM FILED BY # AND YEAR, RETAINED FOR TWO + YEARS. ALL COMMANDERS ARE RETAINED FOR 1 YEAR ON CLIP BOARD			
(5) Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how are they located? ON THE BOOKSHELF BEHIND OSSI DESK.			
(6) Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do all supervisors take advantage of the suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is a periodic review done on a regular basis?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how often? ONLY WHEN REQUIRED OR AT ANNUAL 118 REVIEW BY SUPERVISOR			
(3) Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. SECURITY OF CRIMINAL RECORDS	EVALUATED 09/25/2008	ACTION REQUIRED None	CORRECTED
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Has the Area designated a specific person to release criminal offender record information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do any other persons release this information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Has the designated person completed the required training?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are entries maintained for the prescribed period of time?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. FISCAL PROCEDURES	EVALUATED 09/25/2008	ACTION REQUIRED None	CORRECTED
a. Have discrepancies on the most current audit reports been corrected?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section? <i>N/A</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion? <i>COUNTER RECEIPTS ONLY</i>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability? <i>LOCKED CASH BOXES AND LOCKED DRAWERS WITH LIMITED NUMBER OF ACCESS KEYS.</i>		
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? **COMMANDER INQUIRES REGULARLY AS TO COMPLETION, AND HE SIGNS THE WEEKLY TRANSMITTAL.**

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? ☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? ☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate? ☒ Yes ☐ No

(4) Do tire sale transactions comply with policy? ☒ Yes ☐ No

c. Is security of the postage machine adequate? ☒ Yes ☐ No

(1) Is the machine locked when not in use? ☒ Yes ☐ No

(2) Is the meter reading documented as required? *N/A* ☐ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? *N/A* ☐ Yes ☐ No

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED
9/25/08

ACTION REQUIRED
None

CORRECTED

a. Are requisitions prepared properly? ☒ Yes ☐ No

(1) Who prepares them? OA & OSSI

(2) Has a practical stock level been established and maintained? ☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? ☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to? ☒ Yes ☐ No

(b) Is there a high number of emergency requisitions? ☐ Yes ☒ No

b. Are items stored properly in a storeroom? ☒ Yes ☐ No

(1) Is there convenient access for regularly used items? ☒ Yes ☐ No

(2) Have obsolete items been removed? ☒ Yes ☐ No

6. SUPPLIES

EVALUATED
09/25/2008

ACTION REQUIRED
None

CORRECTED

a. Are all cameras assigned to the command accounted for? ☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories? ☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual? ☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? *N/A*

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
CHP 453E (Rev. 5-06) OPI 009

(1) Is there adequate security for extender batteries and other supplies?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
7. OFFICE EQUIPMENT	EVALUATED 09/25/2008	ACTION REQUIRED None	CORRECTED
a. Are office machines in good condition and properly maintained?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Is the vendor complying with maintenance contract provisions?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Is there a shortage or surplus of machines?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b. Is the Management Information System (MIS) used properly?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who is authorized to use the equipment? CLERICAL AND OFFICERS			
(2) How is training provided, and by whom? COMM. CENTER/DISPATCH SUPERVISORS			
(3) Is there a usage schedule for uniformed and nonuniformed personnel? N/A		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Are there controls in place to ensure confidentiality?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5) Are all personnel aware of how to request repairs after normal business hours?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(7) What system is used to ensure proper routing of MIS information? E-MAIL			
c. Are personal computers used properly?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who is authorized to use the equipment? ALL EMPLOYEES			
(2) How is training provided, and by whom? WHEN SOMEONE ASKS FOR ASSISTANCE OF EITHER THE AREA LAN COORDINATOR OR DIVISION ADMIN			
(a) How many employees are trained in its use? ALL EMPLOYEES			
(3) Are there restrictions on the time its used?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(a) Is there a schedule for uniformed and nonuniformed employees?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Is confidential or sensitive information being stored on a PC hard drive?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(a) If so, is the PC password protected? N/A		<input type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5) What is the PC being used for? DAILY WORK FUNCTIONS			
(6) Are controls present to prevent inappropriate/personal use of the computer?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

(7) Are backup procedures being performed on a regular basis? ☒ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area? ☒ Yes ☐ No

(8) Are PC manuals and other documentation available to all users? ☐ Yes ☒ No

(9) What procedures are in place to ensure out-of-date documents and files are purged? HQ HAS PROGRAM IN PLACE TO REMOVE E-MAIL AFTER 90 DAYS. REVIEW OF OTHER FILES/DOCUMENTS BY SUPERVISORY WHEN TIME PERMITS.

(10) Are employees aware of the availability of assistance in resolving computer related problems? ☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs? ☒ Yes ☐ No

8. PUBLIC CONTACTS

EVALUATED
09/25/2008

ACTION REQUIRED
None

CORRECTED

a. Does the office have extended office hours? ☐ Yes ☒ No

(1) If so, are they adequate and effective? *N/A* ☐ Yes ☐ No

b. Are persons served promptly and courteously? ☒ Yes ☐ No

(1) Are backup personnel immediately available? ☒ Yes ☐ No

(2) Is telephone service both efficient and effective? ☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones? ☒ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum? ☒ Yes ☐ No

9. SCHOOL BUS DRIVER EXAMINATIONS

EVALUATED
09/25/2008

ACTION REQUIRED
None

CORRECTED

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? SPECIAL DUTY OFFICER

(1) Are tests and test keys kept in a secure place? ☒ Yes ☐ No

(2) How are interested parties advised of testing procedures? VERBALLY GIVEN AND/OR REFERRED TO APPROPRIATE TRANSPORTATION ENTITY

(a) Are exams graded in the presence of the applicant, and missed questions discussed? ☒ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly? ☒ Yes ☐ No

(3) How are test disposed of? SHREDDED

(4) Is there a specific date and time set aside for testing? ☒ Yes ☐ No

10. COURT INFORMATION PROCEDURES

EVALUATED
09/25/2008

ACTION REQUIRED
None

CORRECTED

a. Is there a systematic method of coordinating court appearance matters? ☒ Yes ☐ No

(1) What controls are in place to ensure officers appear in court? COURT ATTENDANCE AUDITS WITH CHECK OF 415'S
AGAINST SUBPOENA AND SGTS. OCCASIONALLY GO TO COURT.

(a) How are appearances minimized following cancellations? AREA RECEIVES E-MAIL FROM COURTS ON A DAILY
BASIS FOR CANCELLATIONS.

(b) How are "short notice" cancellations minimized? OFFICERS ARE NOTIFIED AS SOON AS COURT NOTIFIES THE
AREA OF CANCELLATION

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all
appropriate cases? ☒ Yes ☐ No

(3) Who is responsible for managing the process? OA/SGTS.

(a) Are court officers performing duties that could be handled by clerical personnel? ☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED
9/25/2008

ACTION REQUIRED
None

CORRECTED

a. Are the number of authorized libraries being maintained? ☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them? ☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? NOTIFICATION IS MADE TO THE OSSI WHO HAS
THE AREA'S WORKING LIBRARY.

(2) Are publications distinctively marked so they can be readily identified? ☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? SUFFICIENT

(b) Is there a listing available of what should be in each library? ☒ Yes ☐ No

(3) Are publications kept up-to-date? ☒ Yes ☐ No

(4) Who files publication changes? OSSI